THE THEORY BEHIND CHORD SYMBOLS

BY

EDDY DAVIS

This series is dedicated to
my mother and father who bought
me my first banjo and guitar.

Jimmie Wilson--my first instructor

R. W. Bowles--my greatest inspiration

Rudolph Mahara--my friend

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BOOK 1

BUILDING THE CHORDS

IN THE BEGINNING

First of all one very important note! My system does not number the strings as the string manufacturers do. By this I mean my instruction starts with the low string which I call the first string, not the fourth. Please note: my numbering goes up according to pitch. When I refer to up or down, it applies to the pitch, not the direction. Up always means higher in pitch. Please note string numberings in illustration on Page 3.

My second important point: You must start thinking of the banjo neck as a keyboard. Learn the name of every fret of every string. Then you can produce the chords, or harmonies, that you desire and eventually learn how they harmonically move to the next chord or tonal center.

In this book we will deal with scales and harmonized scales (keyboard harmony) which is the key to harmonic movement. First, please learn the note name of every fret. Think of the banjo neck as a keyboard.

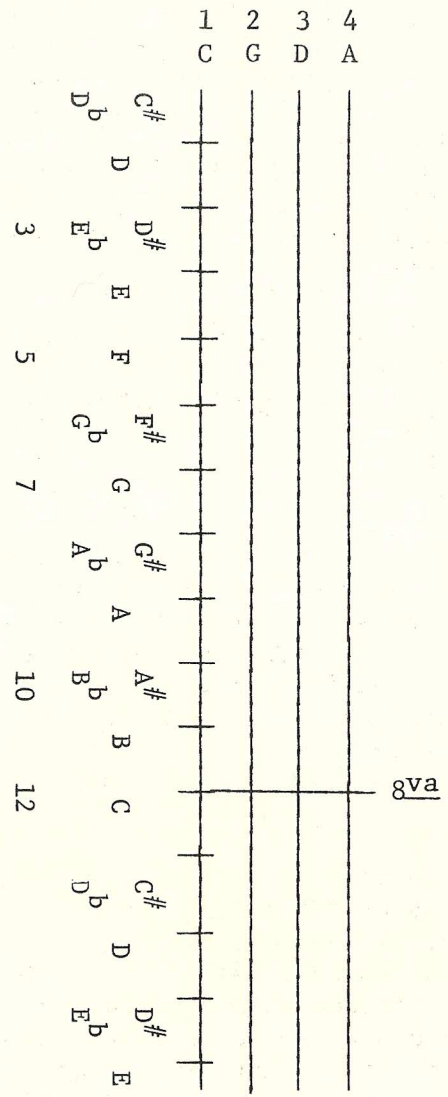
THE SCALE

We will begin by constructing a scale. Once you have learned the intervals, the scale is moveable. By this I mean the same intervals apply to all keys. First, I must define the term interval. An interval is the distance from one tone to another. This distance can be made up of any number of smaller intervals known as half steps. On the banjo, a half step is played by moving from one fret to the next. Therefore, two frets or two half steps compose one whole step.

As you play up in half-steps (Remember, up means tonally.) the notes that are not naturals are called sharps. However, as you play down, the same notes are called flats. For example: starting on the note "C" the next fret or note (which is an interval of one half step) becomes C sharp. The next, D; the next, D sharp, etc. However, please note: when you play down the chromatic scale, (which means to play every note) those very same notes that were called sharps are now called flats. Example: starting on the tone above D sharp, which is E, and playing down in intervals of half steps, the note that was just D sharp now is called E flat. The next is D and the next is D flat, etc. This means that E flat and D sharp produce the same tone; D flat and C sharp the same, etc. This is called enharmonic. We would say that C sharp and D flat are enharmonic, etc.

Now looking at the diagram of the banjo neck, you will notice, if you start with the first string (Remember, the first string is the lowest pitched string.) and play up chromatically, three things:

ILLUSTRATION OF THE BANJO NECK
Try to picture as a keyboard



First: When you reach the twelfth fret, you are one octave above the original note. This happens with every string. In saying these tones are one octave higher, we could also use the term 8va. 8va basso means one octave lower. I assume that by now you know what an octave is. Now, look at the diagram once again and you will see that, similarly, if you produce the tones twelve frets above C sharp or D, they are C sharp and D one octave higher, respectively. The same applies to all tones.

Second: Notice that the seventh fret is the note "G" which is also the fundamental of the second string. Please try to remember the new string numberings. This means that the lowest G on the banjo can be produced two ways: either open second string or the seventh fret of the first string. Similarly, the eighth fret of the first string produces G sharp or A flat (enharmonic) which can also be produced by playing the first fret of the second string. Therefore, notice that this works for the ninth fret which is equal to the second fret of the next string; the tenth fret equals the third; eleventh the fourth; etc. This will be very important later. For now, practice producing the G, G sharp, A, etc. both ways.

Now you should see that all of the notes above the second or "G" string can be produced at least two ways. If you are playing a soft passage, you might want to make use of the optional ways. As you have noticed when you play the higher position, it produces a different overtone series, giving the tone a more mellow quality. At once you should start to use the different qualities of your instrument.

Third: Begin thinking in intervals. (Remember, an interval is the distance from one tone to another.) The chromatic scale, or scale composed of every tone, has intervals of one half steps. From one fret to the next is considered one half step.

Now, looking at the diagram of the neck again, notice that from C to C sharp, which is one fret, is one half step. Now, from C to D, which is two frets, is called an interval of a whole step. So you should conclude that whenever you move two frets you are moving an interval of one whole step, and whenever you move the distance of one fret, you are moving an interval of one half step.

Very Important

If a note is not a sharp or a flat, it is called a natural. Notice that the interval between the natural notes is one whole step, except--very important--between the notes "B" and "C" and also between "E" and "F". The interval between these notes is one half step. Please read this until you understand it completely.

If you understand the intervals produced by the natural notes from C to an octave C; these intervals are the basis for building any major scale. By altering these intervals, we can produce other types of scales which we will take up under their individual headings.

If I ask you to produce an interval of several whole steps or several half steps, these larger intervals produce tones that compose or build a chord. We will take this up when we study the building of chords. Now do you understand the term interval?

BUILDING THE MAJOR SCALE

Start on your low C string and, using only the natural notes (no sharps or flats) play one octave. If you have done this correctly, you have played the C major scale. Now, notice by intervals what you have done. So, conclude that any major scale is composed of all whole steps except for two places which are half steps. The major scale has the half steps between the third and fourth tones and also between the seventh and eighth tones. Example: Start on any tone and play up, using whole steps; except between the third and fourth and seventh and eighth tones, use a half step. If you have done this correctly, you have produced a major scale. Please understand your scales in terms of intervals. This will help you to understand moveable fingerings.

BUILDING THE MINOR SCALE

The first thing you must understand is the difference between the terms relative minor and parallel minor. C minor is parallel to C major, but relative to E flat major (or the key of E flat.) Parallel means only that the two scales have the same fundamental but are composed of different notes. Relative means that the notes that compose the C minor scale are related to the key of E flat. This means that if you play the intervals of an E flat major scale, but use "C" as the fundamental, you will be playing a C minor scale. So, conclude that to compose any minor scale, one should find the minor third from the fundamental and play its major scale. Example: To play a D minor scale, one should play the intervals of an F major scale, but start with D as the fundamental.

BUILDING THE WHOLE TONE SCALE

There are many types of scales which are produced by altering the intervals of the basic structure. At this time, we will only study one other. The whole tone scale makes use of augmentation. Book Three will show how the whole tone scale makes use of the augmented chord. Later, we will go into a more detailed study of augmentation and diminishing. For now, let us learn to build the whole tone scale. It is exactly as it sounds: the scale is made up entirely of whole tones or whole step intervals. Example:

F, G, A, B, C sharp, D sharp, F.

Now you have composed the F whole tone scale. Note: This is the only scale composed of seven tones. All other scales have eight tones, except the chromatic (every tone) scale which is composed of twelve tones, all built in half steps.

HARMONIZING THE SCALES

If you do not know the intervals of the scales, and you have not been practicing them regularly, do not go beyond this point.

For those of you who are ready to go on, we will take up the main project of this book. This section will be known as basic keyboard harmony. This means we will play the scales that you are now practicing in two-part harmony. To do this, you must understand two new intervals. They are called major and minor thirds. Important note:

Let us first give a more complete definition to the term fundamental. For now I will be using the term in three different ways:

First: Earlier in the book I spoke of the fundamental of a string, meaning the lowest tone produced by that string, which would be each string played open.

Second: This use is in reference to a scale. When I refer to the fundamental of a particular scale, I mean the note which that scale is built upon. This means that in a C major scale the fundamental tone is "C". In the case of the A minor scale, the fundamental would be "A".

Third: This use of the term fundamental, which will be taken up later, refers to a chord. The fundamental of a chord is the note that the chord is built upon, which is usually the basic name of the chord. An example of this would be in the C chord--the fundamental would be "C". The fundamental would be "C" even if the chord was called C major seven, or C thirteenth, etc. The only exception is in modern use of chord symbols which will be taken up in another book of this system. An example of the exception might be seeing something like this: Dm^7/G. The fundamental of this is G.

The best definition of fundamental is: The basic tone you are building from. This can be in a scale, a chord, or even a string. Please read this until you understand it completely.

Now, let us take up the major and minor third intervals. The major third is composed of four half steps. The minor third is three half steps.

Starting with the key of C major; remember there are eight tones that compose the scale. This includes the octave. Now, number the notes from one to eight, in order, starting with the fundamental. Example:

C-1 D-2 E-3 F-4 G-5 A-6 B-7 C-8

This is very important for building all harmony. For the interval of a third, look at the tone produced by the number three. When in doubt, always count on your fingers, starting with the fundamental as one. For now, we are only interested in the third. However, you should see that it is very simple to determine any interval. For example: the sixth interval would be from the fundamental, in this case "C", to the number six which is the note "A". If the fundamental were "F", the sixth interval would produce the note "D". What is the major third interval in the key or scale of F? If you said "A" you would be correct. Remember, always count on your fingers. Now, let's go back to the major and minor thirds in the key of C. By now, it should be clear that the major third interval in the key or scale of C is "E". To find a minor third interval, we simply flatten or lower the major third one half step. Now you should see that the minor third in the key of C is "E" flat.

Now, to harmonize the scales. First let us start with the old favorite, the C major scale. Harmonizing the scale in two parts deals with adding an interval of a third. The third you add will either be major or minor, depending on the scale. Starting with the fundamental of the C major scale, which is "C", count to three. This should be the note E. Therefore, conclude that E is the note to harmonize with C. Now, using each tone of the scale as a fundamental and finding its third, try to play the scale in

two part harmony, using only the tones produced by the C major scale.

Now, counting the half steps between each of the intervals, notice the first interval is a major third. The second is a minor third, the third a minor third, then a major, then major, minor, minor, and finally major once again at the octave.

Practice all major scales in two part harmony. Notice that the harmony never makes use of an accidental. An accidental is a note that is not in that scale or key signature. Example: The key of C has no sharps or flats. So, the harmonized scale could not contain any sharped or flatted notes. When harmonizing the minor scale in two parts, use only the notes of that particular scale. Use no accidentals.

One final note in the playing of the harmonized scales: The notes composing the harmony can be inverted. This means in the case of "C" and "E" the "E" does not have to be played above the "C". It can be played below.

BUILDING THE MAJOR AND MINOR CHORDS

Are you practicing the chromatic scale on each string from the fundamental to the octave? This is important because you must think of the banjo neck as a keyboard. In later study I will have you playing the figures similar to the right hand of the piano. This style should be accompanied by a bass violin, which would be producing something similar to the left hand of the piano.

A major or minor chord is considered to be a three note chord. However, please remember that you can play any song in two part harmony and sound full. To make three note major or minor chords, just add an interval of a fifth (from the fundamental) to the two part harmony you are now playing. Don't forget to count on your fingers until you know the intervals. The fundamental is one; two part harmony is the third finger; and three part harmony is the fifth finger. For an example, let's again use the C major scale. To the two part harmony of "C" and "E" now add the fifth interval, producing the note "G". These three tones produce the chord we know as C major. Now harmonize the scale in three part major and minor chords.

By harmonizing the scales in this manner, you are producing what is known as keyboard harmony. This type of keyboard harmony, where you use the notes of the scale as fundamentals, is very important in the book Modern Chord Substitutions. So for now, keep practicing this type with all scales.

BUILDING THE SEVENTH CHORD

To build a chord known as a seventh, you add one more tone to the basic three. This means once again to count on your fingers. We are now using the first (or fundamental,) the third, and the fifth. To build a seventh chord, add the tone produced by an interval of a seventh. If you have done this to the key of C, you have arrived at the tone "B". This interval is known as a major seventh. B flat (the seventh tone of the scale flattened) which is an accidental, is what is known as the seventh. Remember, the seventh tone of the scale is known as the major seventh.

Therefore, the C chord with a "B" is called C major seventh. However, the C chord with a "B" flat is known as a C seventh chord. The major seventh is one half step down from the octave. The seventh is one whole step down. Remember, the seventh is always an accidental in that particular scale.

The major seventh chord, which is any basic chord with a major seventh tone added, is used only in modern harmonizations. We will study these harmonies in Book Two, Modern Chord Substitutions.

For now we are interested in the ordinary seventh chord. If you have built the C seventh chord and have the notes C, E, G, and B flat, you are correct.

The various harmonies in music either have a restful feeling or an uneasiness. The uneasiness usually feels as though it wants to move to the restful type. The seventh chord is basically an uneasy feeling. It seems to want to move. The fundamental of the seventh chord usually wants to become the fifth tone of the next chord. Let us take, for example, what is known to professional musicians as a "cycle of fifths." Many songs use a basic cycle of fifths. We will use "Up the Lazy River" as an example. If we are playing in the key of F, the first chord is D seventh. Notice how the fundamental "D" becomes the fifth tone of the next chord which is G seventh, then the fundamental "G" becomes the fifth of the C seventh, and finally the fundamental "C" becomes the fifth tone of the F chord which seems to be at rest.

The cycle of fifths and what can be done with it is probably the most important part of modern

harmony. It is important for later studies to remember that this is the basis for all modern chord cycles.

One last important note about the basic seventh chord: Any harmony should be able to be carried or understood when played as two parts. We have seen and heard that the basic major and minor chords could be played as thirds. When playing the seventh chord in two parts, the strongest tones are the third and the seventh. This will be pointed out under the heading "Voice Leading." For now, remember that any chord can be played incompletely. This means that the seventh chord, for example, does not need to contain all of the notes that compose it.

BASIC KEYBOARD HARMONY

Earlier in this book we studied a type of modern keyboard harmony. Now let us take up the most basic of all keyboard harmony. For this we will go back to the scale in two parts (thirds). Any given two tones could fit any number of harmonies. Now, let's harmonize the two part scale with the most basic chord progression. Using the key of C and the C scale, harmonized in two parts, add a third tone that will produce a C chord, an F chord, or a G seventh chord. Remember, the seventh chord will be incomplete because there are four tones in the seventh chord. Please understand we are not using the scale tones as fundamentals. The new fundamentals are C, F, or G. Now harmonize the scale.

Did you produce a C chord, an incomplete G seventh, another C chord, then an F chord, and again an incomplete G seventh, another F chord, another incomplete G seventh, and finally another C chord

at the octave?

It is important to remember that this is the basis of all harmonies.

PROPER VOICE LEADING

When anyone speaks of voicings of a chord, each tone is referred to as a voice. Voice leading simply means moving the tones from one harmony to the next harmony. This is best accomplished by either half step or whole step movement. Using two part harmony and using the cycle of fifths in the song, "Lazy River," I will show proper voice leading.

Remember, the strongest tones in the chords are the thirds and sevenths. Start with the C and F sharp. These are the seventh and the third of the D seventh chord. Now move both voices (tones) down one half step. The notes become B and F natural. These notes are the third and seventh of the G seventh chord. At this point it's very important to notice that the seventh of the D chord, which is C, has become the third of the G seventh chord (the note B). Likewise, the third of the D chord which is F sharp, has become the seventh of the G chord (the note F). This is proper voice leading in two parts from a D seventh chord to a G seventh chord. You can do the same thing from the G seventh chord to the C seventh. Move each tone or voice down one half step. The notes become B flat and E, which are the seventh and third of the C seven chord. It's important to notice that you could keep this going through all twelve seventh chords until you reach the D seventh once again.

Can you see that each time you move to the next chord you are reversing the sevenths and thirds? In other words, a third becomes a seventh; then it becomes a third again, etc.

Important. When you want to resolve any seventh chord to the restful sound, move the third to the fundamental of the next chord instead of the seventh. Now, practice hearing the cycle of fifths move.

It is important to remember that the cycle of fifths gets its name from the fact that the fundamental tone of one chord becomes the fifth tone in the next chord. The same thing happens in the next chord, and so on.

At this point, you should understand proper voice leading in two parts.

BOOK 2

MODERN CHORD SUBSTITUTIONS

The first shocking thing to find out about chord substitution is the all important fact that the tonic or root of the chord is usually the first tone to be left out. The second to be left out is the fifth. This should be very understandable if you read my first book on voice leading. One of the basic things to remember is the third and the seventh are the two strongest tones in all of music. From this point on we will always be reminded of another important point. My image of the banjo is that it should replace the right hand of the piano. By this I mean with substitute harmonies and also rhythmic figures.

One other thing before we start to discuss the actual harmonies: Since I come from a formal musical background, I am not in complete accord with the use of what is known as chord symbols. One reason is that they do not relate to voice leading properly. For example: a Dm^7 chord sounds a long distance from a G^9 chord. However, to move from the Dm^7 to the G^9 should be only moving the "C" in the Dm^7 to the "B" in the G^9. In formal music this would be considered a suspension. This term is very important and should be understood completely. There are many forms of the suspension which we will study under that specific heading. At the present time I want you to see and understand that chord symbols are too distantly related by their chord names.

The second reason I am not in complete accord with chord symbols is the fact that a group of notes can have many different chord names. Chord symbols have no reference to their use in the tonal center. By this I mean that music should be thought of as linear not horizontal. Music flowing by lines from one tonal center to another is linear. Music having one chord symbol moving to another has no relationship to lines, tonal centers, or even each other. An example: The notes of the C^6 chord are the same notes that make up the Am^7. If you think of them in these terms, you never understand or use them properly in harmonic movement. Remember that any group of notes can have many different chord names.

My last important point before we begin harmonizing has to do with chord movement or chord progressions. If we are calling each chord by its proper title, according to its use in the harmony at that moment, you will be able to see that harmonies seem to move either by cycle of fifths, whole steps, or half steps. I will keep pointing this out and it should be understandable later.

There are only three other types of progression. The first, of course, is shock which has no reasoning except that. The second deals with the strongest tone in music which is the third. The root of one chord will become the third tone of the next. Example: The beginning of "Bye, Bye, Blues"

or "Out of Nowhere" or the Beatles' "Honey Pie." The third type of strange progression is a matter of repetition. In other words, repeating a series until the original tonality is lost. An example: If a song is in the key of "F" and ends on an F chord; instead of playing the F, substitute a D flat major seven. This is derived by the fact that the root of F became the third tone of the D flat chord. Now, move the D flat major seven down a whole step to the C flat or B major seven chord, then back to the D flat major seven again and back to the B major seven. This repeating movement creates a loss of tonality or tonal center. Now, to put the song at rest, move from the B major seven by a half step movement to the B flat major seven and stop. It could have also moved up to the C major seven. You should see that this type actually combines others which we have just discussed.

As you advance in the book, periodically read this beginning section for more complete understanding. Remember, there is no end to creating music and what I will tell you is only the beginning. You will use this as a tool to find your way. There is much more than I could ever tell you. Reach out and find it. There is no such thing as right or wrong. I can only be reminded of a quote from Igor Stravinsky:

"We have a duty to music that is to invent it."

THE NINTH CHORD

You should always be able to add the ninth tone to any chord without problems. It merely colors the chord. The ninth is the second tone of the scale played up an octave. By color I mean it does not alter the tonality or use of the chord in any way. You have heard it used in the melody for years. When we place it in the harmony, it seems to sound modern.

Remember, as your playing advances, your ear will also have to advance. It will take you a while to get used to hearing these new sounds.

BUILDING THE MINOR SEVENTH CHORD

First of all, start with a minor chord. Now, add the interval of a seventh. Remember, the seventh is always an accidental. The easiest way to arrive at the seventh is to raise the fundamental one octave then lower it one whole step. Please remember that all of the new harmonies simply add color to the basic harmony.

Important: The notes of the minor seventh chord are the same notes that compose what is known as a sixth chord. In other words, a D minor seventh, D-F-A-C, is the same as an F sixth, F-A-C-D. If these notes resolve to a G seventh chord, they have been used as a suspension or a D minor seventh. If they have resolved from C seventh harmony, they take their place as an F sixth. D minor seventh is dominant or unresolved harmony. F sixth is tonic or resolved harmony.

THE FLAT NINE CHORD

Building the flatted nine chord is exactly as it sounds. Find the ninth tone and lower it one half step. The quick way to find it is to raise the fundamental one octave and then go up one half step.

The flat nine tone will only be used with a seventh chord. This means dominant harmony. It is never used with tonic harmony.

Now, let us spell out a flatted ninth chord. C-E-G-B flat-D flat. This, if played completely, is a five note chord. If we use only the top four tones (not the fundamental) we arrive at a diminished chord, which is possibly the most important individual chord in modern playing. In the case of the C flat nine chord, it is a C sharp or D flat diminished. You will also learn that any note in the diminished chord can be a fundamental.

Important: When playing a flat nine chord, you can always play the diminished chord it forms. It is always the diminished chord one half step above the root or tonic.

THE DIMINISHED CHORD

This chord is truly your friend. As I have just stated, any tone of the chord is a fundamental. This is because it is composed entirely of minor third intervals. Now comes a very important point. There are only three diminished chords in all of music.

If you play a diminished chord and move it chromatically up or down three half steps, (which is a minor third interval) you have the exact same notes, only in a different order. This is known as a different inversion.

So, to compose a diminished chord, you start with a tone and add nothing but minor third intervals.

THE FLAT FIVE CHORD

To build a flat five chord, simply locate the fifth tone and lower it one half step. In classical terms, this is known as a tri-tonal interval.

In the case of a minor chord, it becomes a diminished chord unless you add the seventh. Then it is written as a minor seven-flat five or sometimes called a half diminished chord.

In the case of a major, it is known simply as a flat five chord. If the seventh is added, it is known as a seven-flat five.

One of the most important points in all of modern harmony: If you use the flatted fifth tone of any seven-flat five chord as the fundamental and build a new seven-flat five chord, you will arrive with the same exact chord as you started, only in a different inversion. In other words, they are exactly the same chord. Example: D-F sharp-A flat-C is a D seven-flat five chord or we could call it an A flat seven-flat five, A flat-C-E double flat or D-G flat or F sharp. So conclude that instead of twelve seven-flat five chords, there are only six repeated.

THE SIXTH CHORD

The sixth tone, like the ninth, is used for color. Except, it is very confusing as to when it is really a sixth. Actually, it is only a sixth tone when it is in tonic harmony. In other words, when it is added to a simple major triad. The same tones could form a minor seventh chord which is dominant harmony and must be resolved.

A sixth tone added to a minor chord is never tonic harmony unless you are in a minor key. The minor sixth chord is usually used as a form of a minor seven-flat five, which is always dominant harmony. C-E flat-G-A is a C minor sixth chord or an A minor seven-flat five, A-C-E flat-G, which resolves to a D seventh chord.

SUSPENSIONS

My impression of modern, or what I prefer to call linear, harmony is: A series of suspended tones that bridge from one tonality to another. For you to understand this I will have to give you my definition of suspension. The suspensions that I am referring to, we are now calling minor sevenths, ninths, flatted ninths, flatted fifths, etc.

I would like to think that there is only tonic and dominant harmony. This means harmonies that seem resolved and those that seem unresolved. The basic unresolved harmony is the seventh chord. However, whatever the coloring of this chord (major, minor, flat five, flat nine, etc.) this has no effect on its use.

The coloring should only be guided by the melody. The coloring can also allow easy shifting of the tonality.

Definition: A suspension either anticipates the new harmony or is left over from the past. This is generally thought of as one tone. However, it could be any number; even a complete chord. One last important note: The suspension can be both types at one time. In other words, it could be left over from the last harmony and anticipating the next at the same time. In the case of D seven, G seven, C, if you play a D minor seven in place of the G seven (only still use a G bass note) the "C" tone in the D minor seventh is left over from the D seven and is also anticipating the C chord yet to come. So you see, you could think of this not as a D minor seventh chord, but as a G harmony with a suspended "C."

THE FIRST EXTENSION

The first extension or substitute we will study is the minor seventh chord. The first use of it as a substitute is to place it before the seventh chord. First, remember that the ninth can be added to any seventh chord. The ninth tone is for coloring. So suppose we have a G seventh. Let's make it a G ninth. This means we add the ninth tone, which is "A." Now, to substitute the minor seven, find the fifth tone of the G seven chord. It is "D." So using this as the fundamental, build a minor seventh chord. If you have arrived at D-F-A-C, you are correct. Now, when playing

the G seventh chord, first play the D minor seven, then the G ninth. This is a cycle of fifths movement. The fundamental "D" became the fifth tone of the G ninth. Now notice what has happened to the notes. D-F-A-C became D-F-A-B. (This is a G ninth without the fundamental.) It is very important to notice that only one note changed one half step. This, in classical harmony, would be a suspension which is how I want you to start thinking.

THE SECOND EXTENSION

A next change in harmony could come with the ninth tone. If we use a flatted ninth instead of the natural ninth, it would create more color. In the case we have just studied, the minor seventh to the ninth, if it had gone to a flatted ninth, two of the tones would have moved down one half step. This would also allow one half step movement from the flat nine tone to the fifth tone of the C chord.

The flat nine chord is one of the main friends of chromatic movement. It also creates a diminished harmony that allows much freedom in solo playing. In playing a cycle of fifths, using flat nine chords, notice that each diminished chord formed is one half step below the last. This means in a cycle of fifths, the diminished chords come down chromatically.

THE THIRD EXTENSION

If the fifth tone is not involved in the melody or in the figure that the soloist is playing, we could use a flat five instead of the normal fifth. In staying with the harmony example, D seven, G seven, C major, let's go one step farther. When the suspended "C" goes to the "B" and the "A" goes to the flat nine, flat the fifth of the G harmony, which is a D flat instead of a D natural. In doing so perhaps you have noticed that you now have what appears to be a D flat-seventh chord over a "G" bass. You perhaps now prefer to think of it in that manner. However, start to think of it as simple bridges of chromatic movement from one tonality to another. Also realize that they do not have to move at the same time. If you stagger their movement, it will create musical color and also point out chomatic movement. Please note the most important feature of the flat five. If it is a seven-flat five chord and you move its bass in a cycle of fifths, the notes from one chord to the next simply move down chromatically or every note moves down one half step.

E-G sharp-B flat-D = E seven-flat five
E flat-G-A-C sharp = A seven-flat five
D-F sharp-A flat-C = D seven-flat five
D flat-F-G-B = G seven-flat five

Notice the fundamentals compose a cycle of fifths, while the actual tones move chromatically.

THE FLAT FIVE, FLAT NINE CHORD

In the case of major, when you flat the five and the nine, the notes above the fundamental form a seventh chord with a different fundamental. We have just shown this in our discussion of the third extension. The new fundamental is a tri-tone or flatted fifth interval from the original. In the harmony example we have been using; D seven, G seven, C major; the seventh chord formed by D seven flat five, flat nine is an A flat seventh. The G harmony forms a D flat seven, which moves to the C chord.

In the case of minor, a sixth chord is formed from the new fundamental. In our example, the D harmony would form an A flat sixth. Always remember the sixth chord is also a minor seventh chord. In this example, it would be an F minor seven over the D harmony.

This is the last of our studies on linear suspensions. This book has been studying the suspensions of the original or basic harmonies. In Book Three of this system, we discuss polytonal harmonies which involves suspending substitutes for the basic harmony. Up to now, suspending or substituting has involved dominant harmony. In Book Three it involves tonic harmony. One of the first things we take up is the minor seventh chord as a substitute for tonic harmony. Remember, tonic is resolved or at rest. Dominant is unresolved or uneasy. The completion of this book is meant to be a bridge from Book Two to Book Three. It involves some polytonal substituting for tonic harmony. Perhaps you can see how it is derived. If not, it will be cleared up in Book Three. For now, study this section as

exercises of linear suspensions. Remember, this section is a bridge and should be practiced continually through the study of Book Three.

ESSENTIALS ONE MUST KNOW TO IMPROVISE

Notes in any chord do not have to read in root position. In other words, they can be placed in any order. The term for this is different inversions.

Any harmony can be played incompletely. You do not have to use all or any specific number of notes.

The very first thing one must know is the basic chord structure and melody of the composition. You should first be able to play the melody in basic harmonization. Remember, the linear movement is guided by the melody.

All pop songs take form. One should know the form of the piece before starting. To understand it, you must know these terms: bridge or release, chorus, verse, tag. The song "Toot, Toot, Tootsie" has the form A,A,B,C. The "A" strain represents the chorus. "B" strain is the bridge or release. "C" starts like the chorus but has a little different ending. The song "Lazy River" is an A,B form. The "B" strain has a tag ending. This could also be called a turnaround. As you start to work on a song, mark it off in sections. This will enable you to determine the form.

TURNAROUNDS

A turnaround can be used as an introduction. However, the main use is at the end of the piece if you wish to repeat. A turnaround is also used within the piece if there is a repeat. An example would be a selection with a form of A,A,B,A. Between the repeat of the first A and the second there would be a turnaround. As the name implies, you merely move in a cycle so as to arrive at the beginning. All of our examples will be in the Key of "C."

The basic turnaround harmony is C-G seventh-C. As we build more complex turnarounds, you should notice that they are basically cycles of fifths, chromatic movement, or combinations of these. Remember, all of the turnarounds are built upon the basic harmony. The first step is raising the fundamental of the first harmony which is "C." The fundamental becomes "C sharp" while the rest of the harmony remains the same. By doing this we have arrived at a C sharp diminished chord. The next basic harmony is G seventh. Now, place the D minor seven before the G seventh. (The difference is the suspended "C.") Also note this moves the "C sharp" chromatically to the "D." Please notice one more thing before I leave you on your own to study the turnarounds. If we think of the C sharp diminished as part of a flat-nine chord, the fundamental could be "A." (This is one of four choices.) Do you see that this allows a new cycle of fifths? C-A seven-D seven-G seven-C. Then also notice we could start on a complete cycle of fifths. This means that instead of starting on a "C" chord, we would replace it with an E seventh: E seven-A seven-D seven-G seven, and this would return us to the C tonality. Now, if you see this, then remember,

we could use flat fives, flat nines, minor sevenths, etc.

Now I am going to give you a series of turnarounds. Play them as exercises and while doing so, be aware of their movement. Always move chromatically when possible. This creates proper voice leading.

EXERCISES

(- means flat)

C	C sharp dim.	Dm^7	G^7
C	E flat dim.	Dm^7	G^7
C	A^7	D^7	G^7
E^7	A^7	D^7	G^7
E^{7-5}	A^{7-5}	D^{7-5}	G^{7-5}
E^{7-5}	E flat$^{7-5}$	D^{7-5}	D flat$^{7-5}$
B flat$^{7-5}$	A^{7-5}	A flat$^{7-5}$	G^{7-5}
B flat$^{7-5}$	E flat$^{7-5}$	A flat$^{7-5}$	D flat$^{7-5}$
E^{7-9}	A^{7-9}	D^{7-9}	G^{7-9}

E^{7-5-9}	A^{7-5-9}	D^{7-5-9}	G^{7-5-9}
B flat^7	E flat^7	A flat^7	D flat^7
B flat maj.^{7}	E flat maj.^{7}	A flat maj.^{7}	D flat maj.^{7}
Em^7	E flat maj.^{7}	Dm^7	D flat maj.^{7}
Em^7	E flat^7	Dm^7	D flat^7
Em^7	A^{7-9}	Dm^7	G^{7-9}
Em^7	A^7	Dm^7	G^7

Practice these regularly and apply staggered rhythm where and when possible. There are other possibilities. Perhaps you have already found some. I will show you one which I call the Davis type.

If the song is in the key of C, and ends on a C chord, play a C seven and move it up chromatically on every beat. In two bars or eight beats (four-four time) you should arrive at G seven which allows you to return to the C harmony.

1=C^7	2=C sharp^7	3=D^7	4=D sharp^7
5=E^7	6=F^7	7=F sharp^7	8=G^7

BOOK 3

POLYTONAL HARMONIES

We will start this book with the study of three new chords: the augmented chord, the eleventh chord (natural or augmented), and the thirteenth chord. I will try to explain how you have been using these tones previously (in Book Two) and how to apply them in the playing of jazz.

Please remember that the study of anything artistic is merely analysis and is meant to be forgotten when you start to create. If you have absorbed your studies, they should be reflected in your performance. To think of them and use them is merely having a "bag of tricks."

Extend yourself. Find new paths for me and other instructors to analyze and pass on to new students as your creation.

BUILDING THE AUGMENTED CHORD

Possibly this new tone produced is another leading tone! It is pushing for the third of the chord to come. In the case of its leading to a minor chord, it is the new third. Before going any farther, I had better define augmentation and build an augmented chord.

To augment something means to add to it. If it just says an augmented chord and doesn't specify what is augmented, it applies to the basic harmony. In this case, the augmentation applies to the fifth. As an example, I will build a G aug. chord: G-B-D sharp. Notice that this leads to the "C" tonality -- either G-C-E, which is a C major chord, or to G-C-E flat, which is minor. As you have no doubt noticed, the D sharp and E flat are enharmonic. This means it was suspended. In this case, only one tone changed one half step.

Any tone in the augmented triad can be a fundamental. In this respect, it is like the diminished chord. Since there are twelve tones in the chromatic scale and three in the augmented triad, there are only four different augmented chords. If you move the augmented triad up or down chromatically an interval of a major third (four half steps), it is the same chord.

Augmented minor chords are also used. Note, if inverted, they produce a major chord. However, they should be observed as a line or passing tone in the minor tonality.

BUILDING THE ELEVENTH CHORD

Once again, count on your fingers -- this time to eleven. Notice that the eleventh is the same as the fourth, up an octave. This chord will also contain the ninth and the seventh. Example: This is a G eleventh chord: G-B-D-F-A-C. Notice, this is a polytonal chord. It has an F chord (F-A-C) over a G chord. If we take it one step farther, we see D-F-A-C, which is a D minor seventh chord. Now you should see why and how this chord was the first extension in Book No. 2. Also, notice the D minor seventh is "F" tonality because it could be called an F sixth.

You could have a minor eleventh chord. This means that the basic triad is played minor. This would be extended polytonal harmony. This would take the place of the minor seventh chord in dominant harmony.

Minor always reflects major tonality.

BUILDING THE AUGMENTED ELEVENTH CHORD

This chord is the same as the last except, the eleventh is augmented. This means added or sharped. So, the G 9 aug. 11 is built thusly: G-B-D-F-A-C sharp. Notice that this is an F augmented chord over a G. This allows more extension for a soloist. You will see later in this book that it allows use of the whole tone scale.

This could also be a minor triad. Remember, minor reflects major tonality.

BUILDING THE THIRTEENTH CHORD

This chord is the complete basis for what is known as polytonal harmony. As you will see, it is extended, notewise, as far as we can go. The shading or coloring can always be changed.

For now, let us build some thirteenth chords and see what develops. All of our examples will be in "C" tonality or the key of C major. As each example develops, we will harmonize the scale in four parts. Notice that the tonality always remains the same.

First, let us build a C maj. 13 chord. The term major implies that the major seventh tone is used in this chord. This is the tonic chord.

C-E-G-B-D-F-A-C'-E'-G'-B'

C maj.^{7}-Em^{7}-G^{7}-Bm$^{7-5}$-Dm^{7}-F maj.^{7}-Am^{7}-C maj.^{7}

Notice that these are all polytonal chords. You have chords built upon other chords. In the examples, we will use each tone as a fundamental and with the next three notes will produce a four part harmony.

Second, let us build a G^{13} chord.

G-B-D-F-A-C-E-G'-B'-D'-F'

G^{7}-Bm$^{7-5}$-Dm^{7}-F maj.^{7}-Am^{7}-C maj.^{7}-Em^{7}-G^{7}

This is dominant harmony built upon the fifth tone of the C scale.

Third, let us build a D minor 13 chord.

D-F-A-C-E-G-B-D'-F'-A'-C'

Dm^{7}-F maj.^{7}-Am^{7}-C maj.^{7}-Em^{7}-G^{7}-Bm$^{7-5}$-Dm^{7}

This is dominant harmony--a minor chord built upon the second tone of the C scale.

The Dm^{7} chord is also F sixth, which is basic "F" tonality. This should strengthen my theory that there are only tonic and dominant harmonies.

Important: Now let us put the harmonies produced in all three examples together and build a harmonized C scale.

C maj. ^{7}-Dm^{7}-Em^{7}-F maj. ^{7}-G^{7}-Am^{7}-Bm$^{7-5}$-C maj. ^{7}
1 5 1 5 5 1 5 1

One represents tonic harmony; five represents dominant. Notice that all three examples harmonize the scale with the same chords. Also, the first, third, and sixth tones of the scale produce tonic harmony. Two, four, five, and seven produce dominant harmonies. Notice that all three of our examples contain the same notes--all built from a different fundamental.

If you look at the harmonized scale you will see that all dominant, or five harmony, contains the note "F" or the seventh tone of the five chord. The five chord is the chord built from the fifth tone of the scale. Now, look at the tonic harmonies. You will see that they all contain the note "E" or the third

tone of the one chord. Therefore, conclude that the third is the strongest tone in tonic harmony, while the seventh is the strongest in dominant.

Special note: B flat is the seventh tone of the tonic harmony. If interjected, it is no longer tonic harmony. Now it becomes dominant or a five chord, in a new tonality. At this point, the four chord assumes a new role of one or tonic harmony in the new tonality.

POLYTONAL SUBSTITUTIONS FOR ONE

The seventh tone of the dominant harmony is the fourth tone of the scale. Therefore, conclude that any harmony containing the fourth tone of the scale is dominant harmony. We will now look at the substitutions for one so we can use any harmony that does not contain the fourth tone of the scale. Let us look at the harmonized scale again. C maj. ^{7}, Em^7, and Am^7 are the only harmonies that do not contain the fourth tone of the scale. Therefore, Em^7 and Am^7 are the basic substitutions for tonic harmony. Now, to find the polytonal substitutions, we must extend each of these harmonies. An example would be to add the ninth tone to the Em^7: E-G-B-D-F$^{\#}$. This is a G maj.^{7} chord over an E bass note. Later in this book, when we look at a polytonal turnaround, you will see this example used.

The harmonized third and sixth tones are the basic substitutions for tonic harmony.

POLYTONAL SUBSTITUTIONS FOR FIVE

The substitutions for five, or dominant harmony, will all contain the fourth tone of the scale, which is the seventh tone of the basic five chord. Looking at the harmonized scale again, the Dm^7, F maj.^{7}, G^7, and Bm^{7-5} contain the fourth tone. Therefore, conclude that the harmonized second, fourth and seventh tones of the scale are substitutes for the basic dominant harmony. When we extended the D minor seventh chord in our example, we pointed out two things. First, minor tonality only reflects major harmonies. Second, Dm^7 is a substitute for basic dominant harmony. This points out that the four chord, which is basically another tonality, carries the characteristics of dominant harmony. Remember, if we add the flat five and flat nine to the G^7 harmony, we arrive at D flat harmony. Another way to show that the second tone of the scale flatted is a substitute for dominant harmony is with the G seven-flat nine chord. This chord produces an A flat diminished chord over a "G" bass. Now, remember, any note in a diminished chord is a fundamental. So, not only is it an A flat diminished; it is also B, D, and F. This means that this diminished chord could produce three other flat nine chords. They would be B flat-flat nine, D flat-flat nine, and F flat-flat nine or E. So, you have the D flat, which is two flat in the scale, and the B flat, which is seven flat. So, you see that D flat and even the B flat can be added to dominant harmony without loss of tonality. However, remember, never add the B flat to tonic harmony. It immediately becomes dominant harmony in a new tonality.

A POLYTONAL INTRODUCTION

Am^7 with an "F" bass for four beats.

A flat maj.^{7} with a "B flat" bass for four beats.

G maj.^{7} with an "E" bass for four beats.

G flat maj.^{7} with an "A" bass for four beats.

F maj.^{7} with a "D" bass for four beats.

F minor^7 with a "G" bass for four beats.

Then play two bars of any turnaround.

A POLYTONAL TURNAROUND

G maj.^{7} with an "E" bass.

G flat maj.^{7} with an "A" bass.

F maj.^{7} with a "D" bass.

F minor^7 with a "G" bass.

Any turnaround can be used as an introduction or an ending.

MODERN ENDINGS

1. E flat sixth (key of C major)
   D minor seventh
   D flat maj. seventh
   C major chord
   This could be extended by preceding it with:
   F sharp minor seven-flat five
   F seventh
   E minor seventh

2. C maj. seventh (key of C major)
   F maj. seventh
   B flat maj. seventh
   A major

3. A flat maj. seventh (key of C major)
   G flat maj. seventh
   A flat maj. seventh
   G flat maj. seventh
   F maj. seventh

SECONDARY DOMINANTS

Secondary dominants are five chords that lead not to tonic harmony but to other five chords. An example would be a cycle of fifths. The augmented fifth and eleventh tones of the tonic and dominant chords allow these new tones into the tonality. In the key of "C" the common secondary dominants are: E^7, A^7, D^7, G^7, C major. These chord symbols show no relationship to the tonal center. However, in formal music writing, the D^7 would be written as V^7 of V. And since the D^7 is the second tone of the "C" scale, the A^7 would be V^7 of II. Then the E^7 would be V^7 of VI. This method always shows the secondary dominant's relationship to the tonal center.

MUSICAL LINES

Moving lines within the harmony. This is practical use of the shading or coloring tones in the harmony. If you analyze the first few bars of the song "Mame," you will see that the harmony is the same as the first bars of

"Carolina in the Morning." Starting in "C" tonality, the "C" note moves to a "B" making a temporary C maj.^{7}. Then the "B" tone moves to "A" making a temporary C^6 chord. Next, the "A" moves to "B flat." At the same time, the fundamental "C" becomes "C sharp." This has created a temporary C sharp diminished chord. This moves to a D minor and one of the most important chromatic lines in harmony. At this point, we are in dominant harmony which is headed toward a basic G^7 chord. It could simply be a bar of Dm^7 and a bar of G^7. However, the chromatic line of D, D flat, C, B adds much more color to the harmony. You might see this as the tonic tone of the secondary harmony moving to a maj.^{7}, then to a seven, and finally to a sixth or the third tone of the five chord. How ever you see it, it is merely a coloring line on dominant harmony. This chromatic line on any minor chord is probably the most used of all musical lines. As you perform, remember that musical lines are the best accompaniment for a soloist (instrumentally and vocally.) The most musical thing you can do is listen. Always remember to listen and stay out of the way.

You will find that these musical lines are a practical use of the suspensions we studied in Book Two which are, of course, minor sevenths, flat fives, flat nines, etc.

MODERN BLUES HARMONIES

Modern blues changes are only applied substitutions to the basic blues harmonies. Let us build a simple twelve bar blues:

C	/	/	/C^7	/
F	/	/C	/	/
G^7	/	/C	/	//

This is the basic 12 bar blues in C major. The first extension might be making use of the minor harmony.

C	/	/Gm^7	/C^7	/
F	/Fm	/C	/	/
Dm^7	/G^7	/C	/G^7	//

This, of course, is simple extension. The blues can be extended many, many ways. I will give two more examples. Note: the harmony could get still more complex.

C / /Am^7 D^7/Gm^7 C^7/F /

Fm^7 over B flat/Em^7 /A^7 /Dm^7 /

G^7 /C^7 up chromatically / to a G^7 //

Please note: The more extended or modern your playing, the more you need a bass to hear the fundamentals.

Am^7 /D^9 /Gm^7 /C^9 /Am^7 /

A flat maj.^{7} /G maj.^{7} / Gm^7 /

F maj.^{7} /Fm^7 /Em^7 A^7/Dm^7 G^7 //

At present, your ear will never hear this. Perhaps in time--perhaps not!

IMPROVISING ON THE WHOLE TONE

The whole tone scale was constructed in Book One of this system. Simply, it is a scale composed entirely of whole step intervals.

DeBussy was the chief exponent of the whole tone scale. If you construct a scale, you will notice that it makes use of the augmented chord. Now remember, any tone in an augmented triad can be a fundamental. This means that the G aug. (G-B-D sharp) could also be called B aug. or D sharp aug. Now, notice that if we place a minor third interval below the fundamental, we create a minor chord with an added major seventh. Let us call this a minor-major seventh chord. Let's use the tones of the G aug. triad and build some minor-major seventh chords. A minor third interval below the fundamental "G" would give us the note "E." E-G-B-D sharp is an Em-maj.^{7} chord. In the case of the B aug. triad, the minor third interval will create an A flat or G sharp m-maj.^{7} chord. In the last case, the D sharp aug. triad would create a Cm-maj.^{7} chord.

If we were to play a whole tone scale on the augmented chord produced by the Cm-maj.^{7} chord notice that we would start on the maj.^{7} tone. This is one half step below the fundamental. Or, we could start a whole tone up from that which would be one half step above the fundamental. Remember, the tones produced are always a whole step apart. This means that there are <u>only two</u> whole tone scales in music. They are chromatic or one half step apart.

Using the Cm-maj.^{7} chord as dominant harmony, moving to its five chord of "F", we could play on the augmented chord produced by the "C" minor harmony then move to the F aug. chord. However, note that they produce the same whole tone scale. This means you would not have to change.

There are many combinations you could play. Let's look at one other. Using the same example, let's make the F harmony an F-^{9} chord instead of the F aug. This would produce a diminished chord over the fundamental F. Remember, any note in this diminished chord can be a fundamental. Therefore, you could play a whole tone scale into a diminished run.

If we were to use the whole tone scale in tonic harmony, the song would have to be pitched in a minor key. I am speaking of using the example we have been studying. If the song went, for example, from D minor to a G minor, the whole tone scale would simply move up or down one half step. If we played a cycle of fifths of augmented chords, the whole tone scales would keep moving chromatically--up or down, or up and down, or back and forth, etc.

These are only a few uses of the whole tone scale. Try to find some of your own.

POP ROCK-JAZZ IDEAS
(Restructuring of the 11 and 13 Chords)

In the 1950s music dealt with eleventh chords, thirteenth, etc. However, in the 1970s, jazz was combined with rock music creating a new

type of polytonal chord. This chord is still the extension we have studied except, now we leave some of the inside tones out. We could write, "G eleventh, omit this and that," however, it is easier to write the extension and put a slash, then notate the fundamental. One of the examples frequently used is Dm^7/G. This is the G eleventh chord we just spoke of, minus the third tone, "B." If you remember, in Book Two we called this a suspension.

Groups like the "Blood, Sweat and Tears" and "Chicago" perform excellent polytonal music. Individual performers also create excellent polytonal music. One of my favorites is Harry Nilsson.

In studying some examples of the new, restructured harmony, I would have to put, at the top of the list, the pop tune "Without Her." This song is basically built on a turnaround. In the key of E flat, it would be Gm^7 to C^7, Fm^7 to B flat^7. In showing the new harmony, it could look like this: B flat maj.^{7}/G to B flat maj.^{7}/C then A flat maj.^{7}/F to A flat-maj.^{7}/B flat. This, in the 1950s, would have been written: Gm^9 to C^{13} and then Fm^9 to B flat^{13}. Remember, the difference is the omission of inside tones.

The main exponent of this harmony and perhaps one of the originators is Burt Bacharach. Bacharach's sound and style are developed from this restructured harmony.

Harmony usually falls into patterns. I have been making use of this new harmony in some patterns of my own. Often in the past few

years, tunes have made use of a downward whole tone movement: a major seventh, going to a minor seventh with a new slash fundamental. Then the tonality is down a whole step. An example: C maj.^{7} leads to Cm^7/F which moves to B flat. The pattern I have been working with goes up in minor third intervals. An example: C maj.^{7} leads to Fm^7/B flat which moves to E flat maj.^{7}, etc.

Remember, this new harmony is reconstructed elevenths, thirteenths, etc.

THE AUGMENTED NINTH CHORD

Making use of the "Blue Note" has always been a predominant part of blues and jazz. Today, not only is the "Blue Note" used in melodic structure, it is also used in the harmonic structure. To build this chord, you should start with a major chord. A minor can never be built into an augmented ninth chord for the very fact that the augmented ninth interval produces the minor tone (the flatted third. This means that an augmented ninth chord contains the major third and also the minor third of the scale. The two blue tones left over from the blues (the flatted third and seventh) seem to dominate this harmony.

This has been an excellent big band sound for years. Now some smaller groups are producing this texture with excellent results. The "Blood, Sweat and Tears" should be at the top of the list, and Quincy Jones can make this texture sound good with any size group.

Important: The major and minor tones should be at least an octave apart. If they are side by side, they perform a different service and produce a completely different texture.

CREATIVITY

This is the part which you give to your music: not something which you have constructed, but the part you play without thought. Remember, usually the simplest things are the best. Louis made a statement that has been quoted for many years and always seems to fit the occasion: "It's not what you play, but what you don't play." As I stated before, a good player always listens. You should always be calm and relaxed when you play. This will enable you to think. I will leave it up to you to rationalize whether you are performing or creating.

Constructed creativity is merely reconstructed analysis. Analysis has to do with the science of music. However, creativity has nothing to do with science.

Do not believe or disbelieve my statements. Read them over and over and try to understand my views. Absorb them; then throw them away when you start to create. If you use them unconsciously or if they open new ideas to you, we should both be pleased.

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