“Dialogues of Acquisition” in the Dance Forms of Alban Berg’s *Lulu*

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In an article entitled “How One Becomes Lonely” (1937) composer Arnold Schoenberg described the stylistic calamity of the period between 1922 and 1930 as one in which “almost every year a new kind of music was created and that of the preceding year collapsed.”[1] Among the stylistic trends fleetingly in vogue, the final cited by Schoenberg, and the one with which the composer struggled most fiercely to both define and refute, was Neoclassicism. While Schoenberg might not have associated himself with the Neoclassic ethos, preferring to view himself as “belonging to a part of a grand tradition that he was in no sense reviving but whose continuity he was insuring,”[2] the reworking and reinterpretation of older forms was to become one of the battlegrounds upon which Schoenberg and his Franco-Russian colleague Igor Stravinsky sought to claim the mantle of the future of music for either Vienna or Paris.

The early decades of the twentieth century saw the emergence of a sufficiently extensive corpus of works with obvious appropriations of 17th and 18th century musical elements to constitute a significant sub-genre of contemporary Neoclassic compositional practice. In France the antecedents were set in the latter decades of the 19th century with the publication of compete editions of Rameau, a twenty-three volume anthology of the music of Francois Couperin, and the adoption and championship of both by the Polish harpsichordist Wanda Landowska.[3] For the French the renewed infatuation with the music of a bygone age not only served to cover over a discreetly acknowledged paucity of 19th century Francophile masters, but also to reclaim a distinct course from that laid down by Beethoven, and Wagner. Among the many examples of self-consciously neo-classic works in the early 20th century are Stravinsky’s *Concerto in E-flat: “Dumbarton Oaks”*, the *Pulcinella Suite* and *Symphony in C*, Ravel’s: *Tombeau de Couperin* and Hindemith’s *Suites of French Dances*.

The Viennese serialists also sought to come to grips with the music of the past in distinctly different ways, and as a result of distinctly different motivations. Schoenberg himself modeled a significant number of works on the Baroque dance suites of Bach (the Gavotte, Menuette, Musette, Gigue movements in the *Suite for Piano, Op. 25*; Menuett Gavotte, Gigue movements in the *Suite for String Orchestra*) and the classical structures and forms of Haydn, Mozart and Beethoven (*Variations for Orchestra, Op. 30*; *Piano Concerto, Op. 32*).

The conventional and somewhat clichéd explanation of the difference between the Neoclassicism championed by Stravinsky and that evidenced in the works of the Second

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[1] Arnold Schoenberg, “How one Becomes Lonely,” in *Style and Idea,* ed. Leonard Stein, tr. Leo Black (New York: St. Martin’s Press, 1975), 44.
[2] Ibid
[3] For more on Landowska and her influence on Debussy, Ravel and others see: Glen Watkins, *Soundings: Music in the Twentieth Century*, (New York: Schirmer, 1988), 309-312.

Viennese School is that the former appropriates the "sound world" of past styles in order to integrate and update them into a more modern formalistic framework, while the latter interpolates new stylistic idioms onto archaic structures and forms. Thus the Neoclassic idiom adopted by Stravinsky, is seen as "old wine in new bottles" while that of Schoenberg, Webern and Berg tastes more like "new wine in old bottles." That one form of Neoclassicism was seen to be concerned with recreating an old sound world in new guises and the other in creating new sounds applied onto old structures, and that each side of the emerging distinction vehemently dismissed and, at the same time, claimed a righteous precedence over the other, obscured the interplay, experimentation and at times contradictions of the combatants themselves.

Where did the soldiers of Schoenberg's army stand in the confrontation between the two philosophies of Neoclassicism articulated by the Viennese master and his Russian/Parisian counterpart? Schoenberg's 1937 article confesses that the 1920s was a period in which, for the first time in his career, he lost his influence on youth. How did Schoenberg's students themselves do battle with the ghosts of the great masters - composers whose shadows, cast from the 17th and 18th centuries, loomed even larger over the widening gap created by radically new concepts of pitch organization and musical rhetoric?

In the following exploration of the Dance Music sections in Berg's opera *Lulu,* I will attempt to discover what these short but informative sections tell us about Berg's compositional process - specifically his attitude towards the use of acquired material. What does it tell us about the composer, his ethos, his relationship to the past and the present, and his attitudes towards the characters of the opera? At issue in our evaluation is the fundamental question of the extent to which the borrowed forms; Sonatas, Variations, Chorales, and Baroque Dance structures were indications that Berg adopted the compositional ethos of Schoenberg, or shared some predilection towards the Neo-Classic and Neo Baroque stylistic "retrenchment" evidenced by his contemporaries Stravinsky, Ravel, and Hindemith.

Alban Berg's incorporation, reinterpretation and integration of pre-existing material and archaic forms is evidenced in *Wozzeck* where the composer gathers baroque dance movements (Gigue, Gavotte, Pavane) into a dance "Suite" in Act 1 (m.65-120). In the scene between the Doktor and Hauptmeister (Act II m. 202-271) the two antagonists provoke Wozzeck in a lurid and grotesque disfigurement of a Viennese Waltz. And in the Wirtshause Musik of Act II (m.412-736) a Landler-Waltz-Polka section, incorporating appropriated quotations from the *Don Giovanni* Dances (m. 439-42) and the *Rosenkavalier* Waltz (m. 603-604), serve to articulate a 'play-within-a- play' with characteristic Beer-Garden imagery.

In Berg's (1929) lecture on *Wozzeck* the composer defended his use of pre-existing and "borrowed" material, claiming that "no antiquated leanings prompted me therefore when I composed in this opera Variations and even Passacaglias and Fugues. Even less correct

would it be to connect this employment of old forms with the atavist movement 'back to…' which incidentally started much later"[4]

Joseph Kerman in "Opera as Drama" voices, if obliquely, skepticism with Berg's defense. Kerman's comparison of Berg's *Wozzeck* to Stravinsky's *Rake's Progress* in a chapter entitled "Retrenchment" outlines a path of operatic dramaturgy in which the 20th century drew "economical new lines behind the advanced positions of the 19th".[5] If so-called "antiquated leanings" were not the composer's motivation, what then did prompt Berg to incorporate such a rich vocabulary of referential borrowings? Speaking of the aforementioned Suite in Act I which utilizes dance forms to tie together the characters' loosely connected topics of discussion in the drama, Berg writes:

> That the process resulted in a Suite of more or less stylized or archaic dance-forms (such as Prelude, Pavane, Cadenza, Gigue, Gavotte with double refrain) was no mere chance, although it happened quite unconsciously. Scene I receives through this Suite – albeit unintentionally – its proper, and as it were, historic color, a consideration which weighed but little with me in other parts of this timeless dramatic subject.[6]

Unconsciously? Unintentionally? A "consideration which weighed but little" on the composer? In his attempt to distance himself from any accusation of willful Neoclassic tendencies in supplying an appropriate "historic color" to a given scene, one thinks that Berg "doth protest too much". And is the application of "musical color" really an anathema to Berg's compositional credo? Another section of the lecture deals with Berg's employment or "appropriation" of a folksy sounding music to set an appropriate dramatic mood.

> I believe I have succeeded by composing all sections requiring the atmosphere of *Volkstümlichkeit* in a primitive manner which applies equally to the style of Atonality. That particular manner favors a symmetrical arrangement of periods and sections, it utilizes harmonies in thirds and particularly fourths and a type of melody in which the whole-tone scale and perfect fourths play an integral part, in contrast with the diminished and augmented intervals which usually dominate the atonal music of the Second Viennese School.[7]

What are we to make of the composer's ethos then? Against a pattern of vehement denials, the manner of composition described here by Berg would nevertheless seem to be that of the Franco-Parisian school, utilized entirely for its sound quality, populating the drama as a character might, with a sound world made evocative and referential, and used to paint a vaguely reminiscent picture of a bygone era or a "folksy" character.

In "Charles Ives and the Meaning of Quotation in Music" (1979) Christopher Ballantine describes the *semantic connotations* of acquired, or borrowed, music. The purpose of using borrowed material (forms, popular tunes, recognizable harmonic and melodic

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[4] Alban Berg, "Lecture on Wozzeck," in *Alban Berg: The Man and his Music,* tr. Hans Redlich, (London: John Calder, 1957), 261-285.
[5] Joseph Kerman, *Opera as Drama*, (New York: Knoff, 1956) 219.
[6] Berg, "Lecture on Wozzeck," 269.
[7] Berg, "Lecture on Wozzeck," 269

references from other composers and genres) is to communicate "an attitude toward that original occasion – a way not only of hearing, but also of responding, feeling, relating, thinking – which is incarnated in the dialectic between, on one hand, the fragment and the association it activates – its role as a *symbol* – and, on the other, the new musical context."[8] Thus, according to Ballantine, "borrowed" or "appropriated" music forces a dialogue between itself as a symbol, and the "original" or "composed" music into which it is inserted.

Expanding further on Ballantine's thesis, one can categorize at least three types of "dialogues of acquisition" which have manifested themselves throughout the course of musical creation.

1. In Stravinsky's *Pulcinella Suite*, the music of Pergolesi is seen as though through a 'Hall of Mirrors', with familiar textures, harmonies and melodic lines distorted into oblique angles asymmetrical incongruities and jagged edges. As in an amusement park Fun House, the effect is both pleasant and disconcerting. Something is not right, yet we are comforted by our ability to recognize the basic proportions of the distortions. Thus the dialogue between the acquired music and the new "context" into which it is placed becomes *the piece itself*, that is, Stravinsky's *Pulcinella* is entirely about the dialogue between the past and the present.

2. From the operas of Mozart to the Slavonic Dances of Brahms to the Rock-and Roll infused orchestral works of Michael Torke, acquired music has been employed as a "costume" on new musical contexts. Borrowed material in this case serves to color the new musical dialect and foster referential imagery. The acquisition is wholly intended to be perceived by the listener, yet the work, in its entirety, is about much more than the appropriation itself. Bizet's *Carmen* and Rimski-Korsakov's *Capriccio Espangnole* appropriate Spanish rhythms, harmonies and folk tunes (to varying degrees of success) like American tourists appropriate French accents when ordering escargot in Paris bistros. The pentatonicism of Ravel's "Princess of the Pagodas" in *La Mere L'Oye* is like the Orientalism of Monet's aping of Hirochigi woodcuts. The message of the music, the essence of the dialogue, is that "it's a small world after all." Various styles of music, some of them thought previously to be inappropriate in the corridors of 'serious music,' can be dressed for success in the concert hall is comforting in an age of multi-culturalism and cultural relativism.

3. In much of music, from the Cantus Firmus Masses of the Middle Ages and Renaissance, to the works of Arnold Schoenberg and his disciples, acquired musical forms function as the "subconscious" of new works, motivating the flow of the musical discourse on a deeply structural level, but rarely being perceived by the audience. This is particularly the case for Schoenberg where, as we have

[8] Christopher Ballantine, "Charles Ives and the Meaning of Quotation in Music," *The Musical Quarterly* 65, No. 2, (Apr. 1979): 167-184.

> seen, the structures of the classical style (Sonata, Variation, Gavotte, etc.) represent "the internalized languages of the past, something familiar and old established in the mind that have been estranged only by the process of repression, (and) come back to haunt the new emerging language."[9] Freud's exploration of repression psychology could be similarly applied to the Act I Sonata in Berg's *Lulu*. The Classical-era form that governs and motivates the dramatic action of this extended section is arguably imperceptible to all but the few with the analytic capability to uncover its mysteries.

Berg's own confessions of the "unconscious" hard at work in *Wozzeck* notwithstanding, there is something more going on in *Lulu* than repression anxiety. The "historic color, atmosphere and manner" created by Berg's appropriation of the English Waltz, Gavotte, Musette, and Ragtime, while perhaps more subtle than the *Habanera* danced by Carmen, is nevertheless a type of musical "costume of social commentary" which is intended to be perceived and appreciated. Emerging from the weave of a highly rigorous serial tapestry, the fabric of these dance excerpts cannot be remotely described as "unconscious" or "unintentional". Indeed, they serve as an integral contribution to character delineation and dramatic setting.

The following brief analysis of the dance-form sections of Berg's *Lulu* makes this thesis clear.

English Waltz

The historic roots of the English Waltz are found in the 'Valse Boston', a slow ballroom dance related to the Waltz. The dance originated in America in the 1870s and spread to England in the 1900s. Its characteristics included flat feet pointing straight forward, hands placed on the partner's hips, men's feet outside the woman's and fewer swirling motions than the Waltz. The steps were of equal duration; three steps over two bars, accompanied by a hemiola ostinato. The 'English Waltz' gained popularity in Germany after World War I and was especially appropriate for slow, sentimental music. Hindemith's *Suite*, (1922) and Schulhoff's *Esquisses de Jazz* (1927) are among the few works of the early 20th century which sought to incorporate the popular genre of the 'English Waltz' into formal concert music.

In *Lulu* the first appearance of the 'English Waltz' occurs in Act I: Scene 3 (m.1040-1094). In the dressing room with Alwa, Lulu tells of how Schoen introduced her to the theater so she could find a rich husband. (The Waltz association with money will appear again in Act III in the scene with the Marquis.) Lulu describes the feeling of the audience starting to think about her desirability, a process set in motion by Alwa himself, as an icy shiver.

The principal melodic gesture of the Waltz is based on descending whole tone scale fragments liberally harmonized with parallel 4ths and 3rds. The hemiolas characteristic of

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[9] Michael Cherlin, "Schoenberg and *Das Unheimliche:* Spectres of Tonality," *The Journal of Musicology* XI, No.3, (1993): 357-373.

the 2 against 3 step of the English Waltz are particularly evident in mm.1044 and 1051-52. With the typical tightness of serial technique employed by Berg throughout the opera, numerous points of imitation, palindromic phrases and dense counterpoint create a rich texture, the strands of which consist of the characters' individual liedmotivic serial tropes, frequently underpinned or overlayered with quotations of the work's basic cells.

Suggestions of Lulu's serial row are particularly clear in the imitative dialogue m.1053-1054. Those of her "father" Schigolch are found in mm. 1068-1072.[10] Internal palindromic phrases at mm. 1049-1050 and 1060-1063 (the latter outlining the melodic arch of cell 1) provide points of imitative retrograde. Alwa's row in the bass accompanies his spoken response to Lulu beginning with the C in m. 1051 and ending with the a in the tenor voice at m. 1054.

The symbolism of the setting is clear. Lulu is 'dancing' around Alwa. The rapturous dance of the English Waltz perhaps had adopted references for Berg not only to sentimentality but to money as well. Berg's familiarity with the well known reference by Wagner to the English as only interested in money, culled from Wagner's writings on Beethoven, may have served as an amusingly appropriate reference, as discussions of money are interwoven with references to Lulu's desirability and perceptions of self-worth.

The English Waltz appears again briefly later in Act I: Scene 3 (m.1252-55) where Lulu and Schoene are alone in the dressing room. Again, in an oblique reference to Lulu's perception of self-worth, she accuses Schoen of being unable to bear seeing her faint on the stage of the theater. Her hopes are dashed as quickly as the English Waltz is extinguished with his reply "I know you're indestructible." The excerpt is short yet telling, particularly in its mode of integration within the context of the other music of the opera. Here the 3/8 meter of the English Waltz, with its characteristic hemiola syncopation, is superimposed on top of the scene's pervasive 4/4 meter. The interpolation creates a polymetric structure with no less than four simultaneous metric interpretations; the 3/8 of the waltz bar, the 6/8 of the two bar waltz phrases, the 3/4 created by the waltz's hemiola phrases and the 4/4 underlying the entire passage.

The dialogue between the English Waltz and the underlying musical material is, like the dialogue between Schoen and Lulu, at once multi-dimensional and perhaps, irreconcilable. The fantasy world of the theater outside the dressing room intrudes on the reality of Lulu's dialogue with Schoen and the juxtaposition of the two is disconcerting. The English Waltz seems cheap when layered over the nobility and earnestness of both Dr. Schoen's serial row in the Horns and the 'Possession Music' in the Celli. More than the incidental collision of two worlds, the cheapness is in Lulu's attempt to reaffirm her own self-worth. As suggested in the previous scene with Alwa, the theater may well be Lulu's path to a rich husband, but at least at this point, Dr. Schoen is not yet her catch.

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[10] for an extensive analysis of row structures in *Lulu*, see: George Perle, *The Operas of Alban Berg: Volume II,* (Berkeley: University of California Press, 1985).

In Act II: Scene 1 (m.89-98) Lulu's self-worth is again called into question when the Marquis says he's not interested in Lulu himself. Here the music of the English Waltz is laid out over a descending chromatic line sliding down from A-flat to G, and the hemiolas are expanded over parallel augmented triads and 4ths

Finally, in Act III: Scene 1 (m.158-171) the Marquis tells Lulu of the Egyptian willing to pay 1200 Marks for her, based only on the picture Lulu gave to the Marquis. Points of imitation with the orchestra and Waltz theme are interwoven over the texture, as the English Waltz emerges out of the prevailing 3/4 meter articulating a clear metric modulation. A palindromic homophony of picture chords (m. 166-167) and Alwa's row underlying the subtle syncopations of the Waltz hemiolas complete the scene. The Marquis explains that the Egyptian will know better the worth of the pictures. Lulu's descent is complete. Her dances with Alwa, Schoen and finally the Marquis have ended in an exotic image of her as a Middle Eastern prostitute. She has found her rich husband not in the theater, but in the sands of the desert. The recurrent irony of the English Waltz as it accompanies the transformation from Dr. Schoen "selling her" in the Theater to the Marquis "selling her" to the Egyptian creates a referential rhythm in the degradation of Lulu's self-worth.

Gavotte and Musette

The Gavotte and Musette, two stylized dances which have their origins in the French courts of the 16th century, are repeatedly recalled by Berg in the Act I Sonata section of *Lulu*. The dances form the 'second theme group' of the Sonata and thus function as a structural pillar of the section's overall form. However, as we will soon see, the twin dance forms also serve to develop an atmosphere for the couple's dialogue and, more importantly perhaps, also create a 'sound world' in which the unseen character of Schoen's bride-to-be is introduced and delineated.

The historical roots of the Gavotte and Musette were well known to Berg. A 2/4 dance in moderate rhythm, the Gavotte is most often coupled with the Musette, a contrasting dance form named after the bagpipe-like instrument which provided an accompanimental open-fifth drone to the dance's middle section, or "trio." As a devoted disciple of Bach, Berg was no doubt familiar with their incorporation in the English Suites, and motivic elements in Berg's *Lulu* Gavotte bear a striking resemblance to those in Bach's Third English Suite. Berg had used the forms previously in *Wozzeck* as a parody of courtly elegance in Act I, and the dance forms were also used extensively by Schoenberg in his Suites for Piano and String Orchestra.

The first kernel of the Gavotte motive in *Lulu* appears in Act 1, m. 561-562 where it serves as the fulcrum of a metric modulation from 6/8 to 3/4 time, broadening and intensifying the pulse of the Sonata exposition. Here Dr. Schoen asks Lulu to break off their relationship. She responds with mock indifference. The Gavotte theme, which accompanies her obedient acquiescence in direct imitation of Schoen's request, is loaded with an irony which becomes even more apparent in later statements.

In the Act I Sonata exposition the Gavotte appears (m. 587-614) coupled with the Musette music in a more fully developed form. Dr. Schoen wants to bring his new bride home to a house void of scandal. Lulu stands in his way. Here it becomes apparent that the courtly restraint suggested by the slightly repressed style of the Gavotte rhythm signifies something more than musical filler. Patricia Hall's informative exploration into Berg's sketches for *Lulu* has suggested that the Gavotte-Musette pair may have acted as a character liedmotive for Dr. Schoen's bride. In a chart created by Berg to map out the Sonata section, vertical columns assign sonata segments to characters. The second theme (Gavotte-Musette) in this sketchbook matrix is ascribed to the unnamed and unseen bride.[11] The references to polite society created by Berg's use of courtly dances in this context are laden with irony and pretense.

The characteristic motive laid out by Berg in the Gavotte is derived from five-note tropes of the retrograde basic set (4 – 12) answered by five-note tropes of Dr. Schoen's row (10 – 2). That the bride's motive emerges out of the "tail" of Dr. Schoen's row as opposed to its head is perhaps less significant than the incompleteness of her series. Here, as in other sections of the opera, the strictness of the serial technique is loosened, perhaps in deference to the strictness of the rhythmic and articulatory gestures of the dance, perhaps as a symbol of the incompleteness of the bride's character. Dr. Schoen, after all, is unconvincing as he tries to boast of her intellectual growth: "Sie sieht einem nicht mehr so ernsthaft durch den Kopf." And, as the prickly stiffness of the Gavotte is replaced by the peasant-like folksy bass-clarinet drone of the Musette, we recognize that Schoen's aspirations for his bride's development, from pretty farm-girl simplicity to courtly elegance, might be a bit too ambitious.

In the Sonata exposition repeat (m. 650-665) Dr. Schoen and Lulu argue about breaking up. Lulu's attitude is cool and collected. She has nothing against Schoen's impending marriage and wonders both why Schoen seems to despise her, and how he could accuse her of being jealous of the "charming child," his fiancée. Here the Gavotte and Musette, while compressed, again reference both the courtly pretense of Schoen's aspirations and the 'not-ready-for-primetime' status of his fiancée. The dances are treated with the same parallel phrase structures, points of imitation and cadential punctuations as earlier.

In the recapitulation of the Sonata, the Gavotte and Musette appear as the second theme group one final time (m. 1304-1355). In the intervening Sonata development encompassing the Monorythmica, a series of isorhythmic cannons, extended palindromes, a scene change, a jazz band, Chorale and Sextet, Lulu has finally cast her spell on Dr. Schoen. This time, the Sonata second theme group comprising the Gavotte and Musette are cast as a "Brief-Duett" with obvious references to the Act III duet of Mozart's *Figaro*. The section begins with the same notes as in the small motivic kernel of its first appearance; "Kommen wir zu ende – Bitte wie sie wunschen." Here however, rather than breaking off the relationship with Lulu, Schoen is breaking off his engagement to his fiancée. The obvious opportunities for imitation, as Lulu dictates the letter to Schoen, are

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[11] For more on Berg's manuscript sources see: Patricia Hall, *A View of Berg's Lulu Through the Autographed Sources,* (London: University of California Press, 1996).

as ripe and as poignant as those in the in the Mozart duet between the Countess and Suzanna. Just as Mozart's "Letter Duet" symbolizes the moment in which the women finally take control of the Count, so too does Berg's "Brief Duett" symbolize the tables turning on Dr. Schoen. Just as the major-minor third melodic permutation of the Countess is dictated to Suzanna, who's imitative answer is accompanied and completed by the flute and bassoon, so too is Lulu's strikingly similar melodic permutation, accompanied by flute and alto saxophone answered by Dr, Schoen, accompanied by the solo harp. And once again, as the bassoons wheeze the Musette's perverse minor seventh drone we are reminded of Dr. Schoen's ambitions for his simple-minded bride-to-be. Yet it is he now, not his fiancée, who is unworthy of love.

Ragtime

The final dance form used by Berg in *Lulu*, the Ragtime, occupies an entirely different sound-world than the other, more neo-classic, appropriations of dance forms found in the opera. As a foil to the stifling courtly elegance of the Gavotte and the glamorous sentimentality of the English Waltz, the Ragtime represents, perhaps most truthfully, the sound-world of Lulu herself. As such, its evaluation is extremely important in our discussion of borrowed material and its use in the opera.

That Berg was a curious, if peripatetic, student of jazz music is attested to by the inclusion of Alfred Baresel's "Das Jazzbuch" in the composer's library. The use of the book and the influence of jazz forms in the composition of *Der Wein*, and later in *Lulu* is attested to by Patricia Hall in documents included in Berg's sketches.[12] Published first in 1925 then revised and expanded in 1929, Baresel's "Das Jazzbuch" was a described as a "practical handbook for musicians, composers, arrangers, dancers and friends of jazz." It was one of the few books on the genre available to early composers in Germany in the early decades of the century. The German fascination for jazz came later and lasted longer than that of the French. Milhaud was known to have boasted that his *Creation du Monde* of 1922 predated any German compositions in the jazz style and, by the time the Germans had latched onto the idiom as a source of musical material, he and his French compatriots had already moved on to till other fields. As Milhaud writes in his Autobiography by 1926 "I was no longer interested in jazz. It had now become official and had now universal recognition" [13]

Berg must have been aware of his colleagues' various forays into the genre such as Kreneck's Zeitopera *Johnney Spielt Auf* (1926), and Hindemith's *Kammermusik No. 1* and *Suite* of 1922. More importantly, the controversy surrounding the use of jazz by serious concert music composers was raging in the 1920s and, as the battle became more fiercely partisan, Berg could not possibly have remained merely a passive bystander. The periodical *Anbruch* of Universal Edition, Berg's publisher, devoted space to articles on Jazz in its April 1925 issue and again in the "*Jahrbook*" celebrating the firm's 50th anniversary. The music magazine *Auftackt* devoted its entire 1926 issue to Jazz music and, in reviews of contemporary premieres such as those of Krenek and Hindemith,

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[12] Hall, 39,167

[13] Darius Milhaud, *Notes Without Music*, (New York: Alfred Knopf, 1953), 192-193.

leading newspapers took sides either for, or against the use of jazz in "serious" concert music. "For the avant garde, jazz represented the very spirit of modernism, freedom, experimentation" For others it remained a symbol of decadence, declining morals and Germany's defeat in the war."[14]

In 1927 the Hoch Conservatory in Frankfurt under Bernard Sekles started offering courses in Jazz, and later created what would become the world's first Jazz department with instrumental and vocal training, ensembles and courses in composition and orchestration. For five years 12-19 students per year were admitted to the curriculum. The move created a storm of protest, particularly in the *Zeitscrift fur Musik* which, in years leading up to the rise of the National Socialists, was becoming increasingly anti-Semitic. The paper suggested that Sekles could achieve his goal of polluting the youth of Germany more quickly were he to simply import Black people to mate with the Aryan students.

Writing about Berlin in the 1920s Roberto Gerhard describes "a smart society of nouveau riches that had sprung up. They were a sham-sophisticated middle-class crowd trying terribly hard to be "modern" and to feel wicked. They flocked everywhere and loved to be bored expensively and in unspeakably dismal nightclubs. Above all they loved to be shocked. Rarely could the business of *epater le bourgeois* have been carried on so profitably.[15]

In the postwar period of the early 20th century young Germans "seeking new directions in the face of political defeat, eagerly reestablished ties with the rest of the Europe and America. Jazz and dance music became popular imports. Jazz was the sound of the postwar phenomenon and of Germany's overriding obsession with America. Writers, artists, and composers regarded the United States as the seat of modernity and vitality, the new and rightful ruler of the postwar age. The Germans were fascinated by America's skyscrapers and city life; its sports, its movies, its capitalism and its popular music. Jazz became the musical contribution to *Amerikanismus*[16]. In the aforementioned 1926 issue of *Auftakt*, Alfred Baresel himself contributed an article entitled "Jazz as Deliverance" in which he described jazz as "a means to our self-liberation"[17] Thus, even more than telling than its representation as a gateway to modernity in postwar Weimar Republic was the suggestion of the power of jazz not only to exorcize the demons of Germany's past but also to lead the emergence of the German psyche out from under the repressed nature of its collective consciousness.

Amongst this setting of racism, decadence, German nationalism and self-liberation we find Lulu, in Act I: Scene 3 of the opera, preparing to go out onto the stage of the theater against the backdrop of a syncopated Ragtime performed by a pit band. In the theater

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[14] Susan Cook, "Jazz as Deliverance: The Reception and Instituton of American Jazz during the Weimar Republic," *American Music* (Spring 1989): 37.
[15] Roberto Gerhard, "Schoenberg Reminiscences," *Perspectives of New Music* 13, no. 2 (Summer 1975): 57-65.
[16] op. cit. Cook, 32.
[17] Alfred Barasel, "Jazz als Rettung," *Auftakt 6*, no. 10 (1926): 213-216.

Garderobe Lulu asks Alwa if Schoen is in the audience with his bride. Alwa asks if the Prince is coming. Lulu explains he has plans to take her to Africa after they are married. That she is a dancer has been established as far back as the opera's opening scene, yet one pauses to wonder now in what kind of Theater is Lulu dancing, and for what kind of dance might she be preparing. Surely it is not *Swan Lake*. As the Ragtime unfolds, it becomes part of a serial mis-en-scene, a theatrical backdrop draped in music, evocative evidence of Lulu's decadent, anti-pretentious and somewhat risqué persona.

Ironically the most tightly controlled of the acquired dance forms in the opera, the Ragtime's principal thematic material is derived from three tropes of Schigolch's row, most evident in m.1005-1006.
As suggested by Perle, Schigolch's row serves as the origin of Lulu's serial row and thus acts as source of Lulu's true personally.[18] Layered in the chromatic decadence of the melodic line and accompanied by sultry pulsations of the Picture Chords set to the Ragtime rhythm we see perhaps a picture of the true Lulu for the first time.

The Ragtime theme is spun out in five consecutive chromatic ascents, each encompassing a perfect 5th, with the starting pitches of each phrase ascending diatonically in whole tones from E to C (m.1005-1014). An internal recap at m. 1014-1017 recalls the section from m. 994-998.

Later in m.1155-1168 Lulu has collapsed on stage. Alwa, the Prince, the Director and Stagehand are frantic. The same construction, consisting of five consecutive ascents based on Schigolch chromatic tropes, is spun out by the jazz band in 2/2 meter, while an orchestral pedal point in 3/4 meter serves as a wellspring out of which a sequence of Dr. Schoen's row at P0 and P4, then Alwa's row at P6 emerges. The polymetric section juxtaposes the off-stage world of the dressing room simultaneously with the on-stage would of the theater. The contrast between the exterior and interior worlds of the protagonist reminds us of the simultaneous juxtaposition of two worlds described by Berg at the end of Act I and later in the Act II Wirsthause Landler in *Wozzeck*.

In the sextet of m.1177-1204, accompanied now by solo string quartet, in four chromatic perfect fifth ascents beginning on A and leading to D#, the Ragtime music serves as the foundation for a palindromic arch. Dr. Schoen and the others insist that Lulu gets back on stage. At the keystone bar of the palindrome (m. 1190) she finally relents. Forming the outer edges of the arch, Lulu's exhausted "Ja…dann-.." of m. 1204 can be seen as the response to her plaintive "nein…nein" of m. 1180. By agreeing finally to go back out on stage Lulu has capitulated to Schoen's wishes. She has lost the battle, but will, in the end, win the war. The final Ragtime section sets the stage for the Sonata Development out of which Lulu emerges in the "Brief Duett" victorious in her domination of the Doctor.

That Lulu's victory over Schoen will, in the end, be seen as a pyrrhic one should come as no surprise. The deployment of the Ragtime music as the principal ammunition in Lulu's

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[18] For more on the serial construction of the Ragtime see Richard Perle, *The Operas of Alban Berg, Volume II* (Berkeley: University of California Press, 1985)

ascent, mirrors the overall decline in her fortunes from wife, to mistress, to murderer, to prostitute. With its social connotations of deviant behavior drawn from seedy nightclubs, and its pitch class origins drawn from the gutter (think Schigolch), the appropriation of the Ragtime "provides important commentaries on morality and sex in Wedekind's decadent world"[19]

It is this very aspect of social commentary that frames, not only the Ragtime, but also the English Waltz, Gavotte and Musette of Berg's
Lulu. The appropriated dance forms evidence a refinement and expansion of the philosophy of appropriation espoused by the composer's teacher, and a synthesis of Schoenberg's ethos with the philosophy employed by Stravinsky and others. The evolution of Berg's mature style is testimony to a diverse musical vocabulary, one whose roots evidence not only a development on the techniques of serial reinterpretation of classical and baroque Germanic models espoused by Schoenberg, but also appropriations and reinterpretations of other sources as well.

In the use of Germanic folk poetry, seeped in the traditions of world-weariness and tempered by themes of naturalism, and a tendency towards chamber-like orchestrations in his large scale early orchestral songs, Berg seemed to betray a debt to Gustav Mahler more than to his teacher Schoenberg. As a youth, Berg was raised in the same building that had served as the headquarters of the Viennese Secession. With its artistic antecedents in the French art-nouveau movement, the Secession borrowed heavily from themes of social disillusionment and decadence found in the writings of the symbolist poets. In addition to his appreciation for Baudelaire, who's "*Der Wein"*, a paean to the joys of bibulation and drunken love which Berg set to music as a concert aria in 1929, "the importance of the French art-nouveau movement for progressive Viennese taste of the time is especially obvious in Berg's own highly stylized lettering for the tile page of both his *Piano Sonata*, Op. 1, and his *Four Songs*, Op. 2. Here Berg betrays in non-musical terms an allegiance to the art-nouveau based *Jungendstil* of Klimpt, and by extension reflects his awareness of contemporary French musical values, especially of those of Ravel, whose music he followed assiduously at the time"[20] Finally, Berg's interest in the popular dance-hall styles of jazz, tango, and ragtime music is manifested not only in his use of jazz elements in *Der Wein* and, as we have seen in *Lulu*, but also in the high esteem in which he held George Gershwin. (A reported highlight of Gershwin's 1928 visit to Vienna was a meeting with Berg who's *Lyric Suite* was performed for the American composer in Berg's own living room by the Kolisch quartet.)

With such affinities as those expressed for nineteenth century Romanticism, French Impressionism and popular idioms from America, Berg had at his disposal therefore a far richer musical legacy from which to borrow than his more nationalistic colleagues.

An analysis of these "borrowings" in Alban Berg's opera *Lulu* presents opportunities for us to evaluate certain aspects of Neoclassicism and appropriation adopted by one of

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[19] Watkins, *Soundings*, 302.
[20] Watkins, *Soundings*, 51.

Schoenberg's disciples, and to focus our appreciation of the way in which these aspects can be seen as paving the road towards new directions with the stones of the present and of the past. In *Lulu*, acquired material is woven into the lexis of a serial vocabulary, achieving a level of integration which Berg's master might have envied, while at the same time referencing both archaic models discarded by the vanguard, and contemporary popular idioms eschewed by Berg's serialist colleagues, so as to further aspects of character delineation and articulate dramatic context.

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