

## Notes

### Introduction

- 1 Reich, *Alban Berg*, p. 17.
- 2 Reich, *Life and Work*, p. 105.
- 3 See Pople, *Berg: Violin Concerto*, pp. 94–8.
- 4 Adorno, *Alban Berg*, p. 33.

### 1 Defining home: Berg's life on the periphery

- 1 Soma Morgenstern, *Alban Berg und seine Idole; Erinnerungen und Briefe*, ed. Ingolf Schulte (Lüneburg: zu Klampen, 1995), p. 41.
- 2 In this discussion of Vienna's districts I have drawn upon Felix Czeike (ed.), *Historisches Lexikon Wien*, vols. 1–3 (Vienna: Kremayr und Scheriau, 1992–4) and Christian Brandstätter, Günter Treffer and Anna Lorenz (eds.), *Stadtchronik Wien: 2000 Jahre in Daten, Dokumenten und Bildern* (Vienna: Verlag Christian Brandstätter, 1986).
- 3 Alt-Hietzing (Old Hietzing) is the name given to the core of the district that is adjacent to the Schönbrunn grounds. The thirteenth district of Hietzing was created in 1892 by combining the communities of Baumgarten, Breitensee, Hacking, Hietzing, Lainz, Ober St-Veit, Penzing, Unter St-Veit, Schönbrunn, Speising, and parts of Hadersdorf, Hütteldorf, Mauer and Auhof (in 1938 communities north of the Wien river, including Penzing, Breitensee, Baumgarten, Hütteldorf and Hadersdorf-Weidlingau became the fourteenth district of Penzing). In this discussion of the Hietzing Berg knew I have drawn upon Helga Gibs, *Hietzing: Zwischen gestern und morgen* (Korneuburg: Mohl Verlag, 1996) and Erich Alban Berg, *Als der Adler noch zwei Köpfe hatte*, in particular the chapters 'Der Nobelbezirk Hietzing und seine Bewohner', pp. 93–105, and 'Der Kaiser', pp. 141–56.
- 4 Until 1918 the Lainzer Tiergarten was an Imperial hunting reserve. It was opened to the public in 1919 but did not officially become part of Hietzing until 1956.
- 5 Soma Morgenstern (1891–1976) gave up his legal career in the mid-1920s to become a columnist and novelist; with the rise of Nazism he left Vienna, settling in New York. In his edition of Morgenstern's *Alban Berg und seine Idole*, Ingolf Schulte (p. 41 n. 1) cites registration records to argue that Morgenstern's move to Hietzing actually took place in January 1921 and that his move to an apartment in Alt-Hietzing (Maxingstraße 30) followed in October of that year. I have chosen to follow Morgenstern's chronology so as not to interrupt the flow of his narrative.
- 6 Morgenstern, *Alban Berg und seine Idole*, pp. 45ff.
- 7 Adorno, *Alban Berg*, p. 14.

- 8 Anna Nahowski's diaries relating to her years as the Emperor's mistress have been published as *Anna Nahowski und Kaiser Franz Joseph: Aufzeichnungen*, ed. F. Saathen (Vienna, 1986). The claim that two of her children were in fact fathered by the Emperor has never been subjected to genetic verification.
- 9 The details of Anna Nahowski's affair with the Emperor are drawn from Erich Alban Berg (*Als der Adler noch zwei Köpfe hatte*, pp. 155ff.), who cites Helene Berg as his source.
- 10 Erich Alban Berg, *Als der Adler noch zwei Köpfe hatte*, pp. 95ff.
- 11 For much of the following discussion of the Berg family I draw on two books of reminiscence by Erich Alban Berg: *Der unverbesserliche Romantiker* and *Alban Berg: Leben und Werk*.
- 12 Smaragda Berg married Adolf Freiherr von Eger on 21 April 1907; they were divorced on 23 December of the same year.
- 13 'Ein junger Künstler wie Sie heiratet nicht die Tochter eines Hofbeamten!'; 'Ein so schönes, vornehmes Mädchen heiratet nicht so einen jungen Bohémien. Aus dem wird nix.' Morgenstern, *Alban Berg und seine Idole*, p. 65.
- 14 *Ibid.*, p. 56.
- 15 For an analysis of Berg's relationship with literary Vienna see chapter 2, and also Rode, *Alban Berg und Karl Kraus*.
- 16 The Vereinigung schaffender Tonkünstler was founded on 23 April 1904 and during the course of the 1904–5 season gave two orchestral concerts, the second of which included the premieres of Schoenberg's *Pelleas und Melisande* and Zemlinsky's *Seejungfrau*. It also gave four song recitals, the last of which, on 11 March 1905, marked the organisation's final concert.
- 17 During 1904–5 he taught classroom lessons at the Schwarzwald School in the first district, where Webern, Horwitz, Jalowetz and Egon Wellesz (all musicology students at the University) were among his pupils. Thereafter he taught privately in his ninth district apartment on Liechtensteinstraße 68–70.
- 18 The suicide was that of the painter Richard Gerstl (1883–1908), who had had an affair with Schoenberg's wife. Schoenberg became acquainted with Gerstl in 1907, at a time when Schoenberg himself was experimenting with painting.
- 19 Morgenstern, *Alban Berg und seine Idole*, p. 356.
- 20 Letter to an unidentified woman, quoted in *ibid.*, p. 356.
- 21 Alban Berg and Helene Nahowski were married on 9 May 1911, although her father insisted on a Protestant ceremony to facilitate the divorce he foresaw as inevitable.
- 22 Berg's most significant professional activity was his work for Universal Edition, which included preparing the piano-vocal scores for Schoenberg's *Gurrelieder* and Franz Schreker's opera *Der ferne Klang*.
- 23 In turning down the appointment to the Academy, Schoenberg stated that the time was not right for his return to Vienna.
- 24 Schoenberg's correspondence with Berg offers a detailed account of these years (see *The Berg–Schoenberg Correspondence*).
- 25 Letter of 17 May 1915 (*The Berg–Schoenberg Correspondence*, p. 241).
- 26 See chapter 5 for a discussion of the musical background to this rift.
- 27 Morgenstern, *Alban Berg und seine Idole*, pp. 117ff.

- 28 See chapter 3 for an account of Adorno's personal and intellectual relationship with Berg.
- 29 Adorno, *Alban Berg*, p. 27.
- 30 The architect Hermann Watznauer (1875–1939) was a friend of the Berg family and after the death of Conrad Berg assumed the role of Berg's mentor. His biography of Berg was first published by Erich Alban Berg in *Der unverbesserliche Romantiker* (the quoted passage appears on p. 53).
- 31 Morgenstern, *Alban Berg und seine Idole*, p. 101.
- 32 *Ibid.*, p. 313.
- 33 Adorno, *Alban Berg*, p. 31.
- 34 *Ibid.*, pp. 29ff.
- 35 Berg was an avid supporter of the football team Rapid which played its matches on the Hütteldorfer Pfannwiese, within walking distance of Berg's home.
- 36 Adorno, *Alban Berg*, p. 29.
- 37 Berg helped write the statutes for the *Verein* and served as one of its *Vortragsmeister*, or performance coaches.
- 38 Adorno, *Alban Berg*, p. 29.
- 39 See chapters 2 and 5. The *Altenberg Lieder* were not published until 1953.
- 40 Erich Alban Berg, *Alban Berg: Leben und Werk*, p. 41. In *Der unverbesserliche Romantiker*, p. 155, he dates this incident as having taken place shortly before Berg's death.
- 41 The journal 23 appeared between 1932 and 1937, a total of thirty-three issues. Berg designed the cover.
- 42 Johanna Berg died in 1926, Franz Nahowski in 1925, and Anna Nahowska in 1931.
- 43 Morgenstern, *Alban Berg und seine Idole*, p. 299.
- 44 *Ibid.*, p. 298.
- 45 See chapter 8 for a musical perspective on Berg's passion for elaborate secrets.
- 46 Morgenstern, *Alban Berg und seine Idole*, pp. 376ff.
- 47 Adorno, *Alban Berg*, p. 16.
- 48 *Ibid.*, p. 34.
- 49 Morgenstern (*Alban Berg und seine Idole*, pp. 364, 378) relates the oft-repeated story of how Berg was asked to submit proof of his 'Aryan' ancestry by the German *Reichsmusikkammer*. When challenged by Morgenstern as to why he had complied rather than discard the forms as Krenek had done, Berg is reported to have answered with a sigh, 'Ernst Krenek is not married to Helene', thus compounding his own cowardice through an act of disloyalty to his wife.
- 50 Adorno, *Alban Berg*, p. 33.
- 51 See, for instance, Berg's letters to Schoenberg of 13 September 1912 and 10 February 1913 (*The Berg–Schoenberg Correspondence*, pp. 113, 157).
- 52 See Christopher Hailey, 'Between Instinct and Reflection: Berg and the Viennese Dichotomy', in Jarman (ed.), *The Berg Companion*, pp. 221–34.
- 2 Battles of the mind: Berg and the cultural politics of 'Vienna 1900'**
- 1 'Die Ohrfeige war so ziemlich das Klangvollste des ganzen Konzertabends.' Werner J. Schweiger, *Peter Altenberg Almanach* (Vienna: Löcker, 1987), p. 34.

- For a general assessment of Altenberg see Andrew Barker, *Telegrams from the Soul: Peter Altenberg and the Culture of fin-de-siècle Vienna* (Columbia, SC: Camden House, 1996).
- 2 See Edward Timms, *Karl Kraus, Apocalyptic Satirist: Culture and Catastrophe in Habsburg Vienna* (New Haven: Yale University Press, 1986), p. 5.
  - 3 See Erich Mühsam, *Namen und Menschen: unpolitische Erinnerungen* (Berlin: Guhl, 1977), p. 126.
  - 4 ‘Ein besserer Dreibund’ was Kraus’s term for these three artistic musketeers of *fin de siècle* Vienna.
  - 5 See *Mopp: Max Oppenheimer 1885–1954* (Vienna: Jüdisches Museum der Stadt Wien, 1994), p. 26.
  - 6 Altenberg’s evocations of Alban and/or Helene Berg are found in the sketches ‘H. N.’, ‘Bekanntschaft’ and ‘Besuch im einsamen Park’, all found in *Neues Altes* (Berlin: S. Fischer, 1911) from which Berg took the texts for his Op. 4 songs. See David P. Schroeder, ‘Alban Berg and Peter Altenberg: Intimate Art and the Aesthetics of Life’, *Journal of the American Musicological Society*, 3 (1992), pp. 261–93. See also Rode, *Alban Berg und Karl Kraus*, p. 429. I wish to record here my debt to this important and original study.
  - 7 ‘Ich verstehe nichts von dieser letzten “modernen Music”, meine Gehirn-Seele hört, spürt, versteht nur noch Richard Wagner, Hugo Wolf, Brahms, Dvořak, Grieg, Puccini, Richard Strauss! Aber das moderne Frauenantlitz verstehe ich wie die Bergalm und meinen geliebten Semmering.’ Schweiger, *Peter Altenberg Almanach*, p. 35.
  - 8 ‘Deine Oskar Kokoschka – Else Lasker-Schüler – Arnold Schönberg Vorliebe beweist genau den *Tiefpunkt* deiner *geistig-seelischen Maschinerie*.’ Quoted in Willy Haas, ‘Aus unbekanntem Altenberg-Briefen’, *Forum*, 8 (1961), pp. 467ff.
  - 9 ‘Selbstverständlich und mit innerer Verpflichtung.’ ÖNB, Musiksammlung, F 21 Berg 480/7.
  - 10 ‘Alban, der adeligste Jüngling.’ Altenberg to Smaragda Berg, n. d., Wiener Stadt- und Landesbibliothek, 181.213; see also 158.083.
  - 11 ‘Ich komme als Künstler, zu Ihnen als Künstler —. Helfen Sie mir! Ich habe Ihre von mir vergötterete Schwester gekränkt, verletzt —. Legen Sie, *ich flehe Sie an*, ein gutes Wort für mich ein bei der Theuren, damit ich *wieder lebensfähig*, leidensfähig werde —. Möge Gott es Ihnen lohnen. Ich flehe sie an, meine Qualen mir zu *erleichtern*! Smaragda soll mir verzeihen *Ihnen zuliebe*.’ ÖNB, Musiksammlung, F 21 Berg 498/1. It has been suggested that Altenberg’s extravagant punctuation style may have influenced Berg’s own writing practice. See Reich, *Life and Work*, pp. 17–18.
  - 12 In a letter dated 30 August 1909 he writes: ‘Gerhart Hauptmann beißt leidenschaftlich seine Fingernägel! Mahler, Lichtenberg, Hauptmann, Altenberg – in eine schöne Gesellschaft bin ich da geraten!’ *Briefe an seine Frau*, p. 132; *Letters to his Wife*, p. 94.
  - 13 Hilmar, *Alban Berg*, p. 42.
  - 14 ‘Raum 22, die Gustav Klimt-Kirche der modernen Kunst’. Altenberg, ‘Kunstschau 1908 in Wien’, in *Bilderbögen des kleinen Lebens* (Berlin: Erich Reiss, 1909), pp. 115ff.

- 15 *Briefe an seine Frau*, p. 26; differently translated in *Letters to his Wife*, pp. 34–5.
- 16 ‘meine Unkenntnis in Dingen der Malerei u. namentlich Kraus’ Verurteilen Klimts [hielt mich] davor zurück, meine Begeisterung für diesen allzu laut werden zu lassen’. Berg to Webern, 14 August 1920, quoted in Rode, *Alban Berg und Karl Kraus*, pp. 61, 395.
- 17 See *The Berg–Schoenberg Correspondence*, p. 168. Berg offered to send Schoenberg his spare copy.
- 18 The three songs – ‘Traurigkeit’, ‘Hoffnung’ and ‘Flötenspielerin’ – are among the published *Jugendlieder*. It is not widely appreciated that the third of these early Altenberg songs was also set to a text originally written on a picture-postcard. Berg himself was probably unaware of this. The original postcard with its inscription is still extant at the Galerie St Etienne, New York. See Andrew Barker and Leo A. Lensing, *Peter Altenberg. Rezept die Welt zu sehen* (Vienna: Braumüller, 1994), pp. 204, 409 (n. 25).
- 19 Altenberg, *Fechsung* (Berlin: S. Fischer, 1915), p. 231.
- 20 Kurt Blaukopf, *Mahler* (London: Allen Lane, 1973), p. 198.
- 21 The original manuscript of the sketch is now in the Werner Kraft-Archiv. It was placed in an envelope addressed to ‘Herrn Adolf Loos, Architekt, für Oskar Kokoschka, Mahler, Semmering an der Südbahn Hotel Panhans’. It is not known whether Loos ever delivered the manuscript to Kokoschka.
- 22 Altenberg reacted to the withdrawal of his sketch with one entitled ‘Hoher Gerichtshof’, in which he summarises the contents of the deleted sketch. *Nachfechtung* (Berlin: S. Fischer, 1916), p. 157.
- 23 See chapters 8 and 11; also Pople, *Berg: Violin Concerto*, p. 28.
- 24 Timms, *Karl Kraus, Apocalyptic Satirist*, p. 8.
- 25 See pp. 9–10.
- 26 Rode, *Alban Berg und Karl Kraus*, p. 160. To describe Werfel and Berg simply as friends – cf. Martin Esslin, ‘Berg’s Vienna’, in Jarman (ed.), *The Berg Companion*, p. 12 – is to oversimplify the issue.
- 27 ‘So haben wir denselben Geschmack, was mich sehr freut, denn in einigem geht er ja auseinander: Kraus, Altenberg!!’ Quoted in Rode, *Alban Berg und Karl Kraus*, p. 392.
- 28 ‘Er war edel mit dem Adel einer neuen Zeit, die Peter Altenberg, ihr großer Seher, verkündete: mit dem Adel der Natürlichkeit.’ Quoted in Erich Alban Berg, *Der unverbesserliche Romantiker*, p. 186.
- 29 ‘[Es] ist klar, daß [Webern] seine Meinung über Karl Kraus, Peter Altenberg, Peter Rosegger, Gustav Mahler und mich nie geändert hat. Das waren seine “Fixsterne”.’ Quoted in Nuria Nono-Schoenberg (ed.), *Arnold Schoenberg 1874–1951. Lebensgeschichte in Begegnungen* (Klagenfurt: Ritter, 1992), p. 401.
- 30 Joan Allen Smith, *Schoenberg and his Circle: A Viennese Portrait* (New York: Schirmer, 1986), p. 57. This is a verbatim transcript of a conversation between Deutsch and Smith.
- 31 ‘Es wäre so schön, wenn alle Leute, die heute was sind, in einer Stadt beisammen wären, im regsten Verkehr. Schönberg, Klimt, Altenberg, Loos, Kraus, wir, Kokoschka und viele andere.’ Quoted in Rode, *Alban Berg und Karl Kraus*, p. 392.

- 32 ‘Den Dank für das Beispiel, das Sie mir durch Ihre in allen Kunst- und Lebensfragen nachahmenswerte Erscheinung seit meiner Jugend gaben u. auch heute noch, wo ich bald 40 Jahre alt bin, immer noch geben. Den Dank für die unermessliche Wonne, die mir Ihr geschriebenes Werk bereitet [...] Den Dank für die seelische Stütze, die Sie mir oft u. oft in den unangenehmsten Lebenslagen geboten haben.’ Quoted in Rode, *Alban Berg und Karl Kraus*, pp. 10ff.
- 33 Quoted in Perle, *Lulu*, p. 38.
- 34 For an English translation of Kraus’s lecture see Jarman, *Alban Berg: Lulu*, pp. 102–12. These words are sung in the opera at Act II, bars 319–23 (see Example 9.5, p. 188).
- 35 Berg followed Franzos’s spelling, *Wozzeck*, which can be attributed to a misreading of Büchner’s script. See Perle, *Wozzeck*, pp. 25–37.
- 36 Egon Friedell, ‘Die Altenberg-Anekdoten’, in E. Friedell (ed.), *Das Altenbergbuch* (Vienna: Verlag der graphischen Wiener Werkstätte, 1921), pp. 417–25. In a letter to Helene in Autumn 1909 Berg mentions going to the ‘Fledermaus’ (*Briefe an seine Frau*, p. 145).
- 37 *Die Fackel*, 274 (February 1909), pp. 1–5 (Altenberg’s 50th birthday article). In a letter to Helene of August 1910, Berg compared Altenberg’s *Was der Tag mir zuträgt* and *Märchen des Lebens* with the prose poems of Baudelaire (*Briefe an seine Frau*, p. 184).
- 38 Weininger was the author of the great succès de scandale *Geschlecht und Charakter* (*Sex and Character*). In 1903 he committed suicide, aged twenty-three, in the house in the Schwarzschanerstrasse where Beethoven died. The house was demolished for redevelopment in 1904. There is evidence that Altenberg’s views were articulated before the publication of *Geschlecht und Charakter*. See Andrew Barker, ‘The Persona of Peter Altenberg: “Frauenkult”, Misogyny and Jewish Self-Hatred’, in J. A. Parente and R. E. Schade (eds.), *Studies in German and Scandinavian Literature after 1500: A Festschrift for George Schoolfield* (Columbia, SC: Camden House, 1993), pp. 129–39.
- 39 Timms, *Karl Kraus, Apocalyptic Satirist*, p. 69.
- 40 Karl Rykl, quoted in *The Berg–Schoenberg Correspondence*, p. 52 n. 2.
- 41 *Briefe an seine Frau*, p. 150; *Letters to his Wife*, p. 101.
- 42 ‘Mein Tintenfäßchen ist aus braunem Glas, fabelhaft leicht zu reinigen, kostet 2 Kronen, und heißt noch dazu “Bobby”, also jetzt “Robert”. Es ist daher ein Kunstwerk, es erfüllt seinen Zweck, stört Niemanden und ist schön braun.’ Altenberg, *Vita Ipsa* (Berlin: S. Fischer, 1918), p. 48. This inkwell is now in the Historisches Museum der Stadt Wien, Inv. Nr. 94.605/1, 2.
- 43 Jens Malte Fischer, *Fin de Siècle: Kommentar einer Epoche* (Munich: Winckler, 1978), p. 22.
- 44 Carl E. Schorske, *Fin de Siècle Vienna: Culture and Politics* (New York: Alfred A. Knopf, 1980), pp. 116–80.
- 45 An English version of Kraus’s text is available in Harold B. Segel, *The Vienna Coffee House Wits* (West Lafayette: Purdue University Press, 1994), pp. 65–85.
- 46 Kraus’s dislike of Klimt may have been conditioned by the enthusiastic support the painter received from Hermann Bahr, most loathed and most savagely treated of all Kraus’s literary foes.

- 47 Christopher Hailey has suggested that Schoenberg's 'aggressive' identification with tradition is linked to his awareness of being an autodidact trained outside the official Viennese institutions ('Berg and the Viennese dichotomy', in Jarman (ed.), *The Berg Companion*, p. 224). See also chapter 1.
- 48 Rode, *Alban Berg und Karl Kraus*, p. 418.
- 49 Peter Haiko and Mara Reissberger, 'Ornamentlosigkeit als neuer Zwang', in A. Pfabigan (ed.), *Ornament und Askese im Zeitgeist des Wien der Jahrhundertwende* (Vienna: Brandstätter, 1985), pp. 110–19.
- 50 Patrick Werkner, *Egon Schiele: Art, Sexuality and Viennese Modernism* (Palo Alto: Society for the Promotion of Science and Scholarship, 1994), p. 66.
- 51 *Ibid.*
- 52 Hermann Broch, *Hofmannsthal und seine Zeit* (Frankfurt: Suhrkamp, 1974), pp. 7–15.
- 53 Adolf Loos, 'Potemkin City', in *Spoken into the Void: Collected Essays 1897–1900* (Cambridge, MA: MIT Press, 1982), pp. 95–103.
- 54 Altenberg to Samuel Fischer, n. d., Wiener Stadt- und Landesbibliothek, 199.208/1–5.
- 55 *The Berg–Schoenberg Correspondence*, p. 170.
- 56 See Rode, *Alban Berg und Karl Kraus*, p. 429.
- 57 *The Berg–Schoenberg Correspondence*, p. 171 n. 3; *Die Fackel*, 374–5 (May 1913), p. 24.
- 58 *The Berg–Schoenberg Correspondence*, p. 52.
- 59 In 1912 the painter Egon Schiele, who shared Loos's and Altenberg's fascination with the 'child-woman', served 24 days in prison for circulating obscene drawings. Earlier charges of abducting and raping a minor had been dropped. See Werkner, *Egon Schiele*, p. 68.
- 60 *Adolf Loos: Festschrift zum 60. Geburtstag* (Vienna: Lanÿi, 1930), p. 9. The page is reproduced in Erich Alban Berg, *Alban Berg: Leben und Werk*, p. 216.
- 61 'in den unangenehmsten Lebenslagen [...] von meiner mehr als 3jährigen Militärdienstzeit nicht zu reden'. Rode, *Alban Berg und Karl Kraus*, p. 10.
- 62 See Berg's letter to Schoenberg of 8 October 1914 (*The Berg–Schoenberg Correspondence*, pp. 218–20). In 'Untergang des Franzosentums', Altenberg described the French as 'sham romantics and heartless megalomaniacs in this earthly madhouse'. For an explanation of Kraus's initial reticence, which had personal as well as political grounds, see Timms, *Karl Kraus, Apocalyptic Satirist*, pp. 266ff.
- 63 'Wann hebt die größere Zeit des Krieges an – der Kathedralen gegen Menschen!' *Die Fackel*, 404 (December 1914), p. 11.

### 3 Berg and Adorno

- 1 Theodor W. Adorno, GS 13, i.e. vol. 13 of *Gesammelte Schriften*, ed. G. Adorno and R. Tiedemann (Frankfurt: Suhrkamp, 1970–), p. 340.
- 2 See Jan Maegard, 'Zu Th. W. Adornos Rolle im Mann/Schönberg Streit', in R. Wiecker (ed.), *Gedenkschrift für Thomas Mann 1875–1975* (Copenhagen: Verlag Text und Kontext, 1975), pp. 216–17. Admittedly this is a retrospective judgement and Schoenberg was not always the most fair-minded judge. See

- also Thomas Mann's letter to Jonas Lesser of 15 October 1951 (*Briefe*, ed. E. Mann, vol. 3 (Frankfurt: Fischer, 1965), pp. 225–8); also Jürgen Habermas's two essays on Adorno in *Philosophisch-Politische Profile* (Frankfurt: Suhrkamp, 1971).
- 3 *The Berg–Schoenberg Correspondence*, p. 335; Adorno, *GS* 13, p. 361.
  - 4 An early account of Adorno's compositions is René Leibowitz, 'Der Komponist Theodor W. Adorno', in M. Horkheimer (ed.), *Zeugnisse: Theodor W. Adorno zum 60. Geburtstag* (Frankfurt: Europäische Verlagsanstalt, 1963), pp. 355–9; for more recent commentary see *Musik-Konzepte*, vols. 63–4, ed. H.-K. Metzger and R. Riehn (Munich: edition text+kritik, 1989) and the essay by Siegfried Schibli issued with the CD recording WER 6173–2 (Mainz: Wergo, 1990).
  - 5 As late as 1938 he was writing that 'according to our theory there will be no war' (Adorno–Benjamin, *Briefwechsel, 1928–1940*, ed. H. Lonitz (Frankfurt: Suhrkamp, 1994), p. 328) and even in early 1939 he is not convinced that war will come (*ibid.*, pp. 388–90).
  - 6 Leo Löwenthal, 'Erinnerungen an Adorno', in L. von Friedeburg and J. Habermas (eds.), *Adorno-Konferenz 1983* (Frankfurt: Suhrkamp, 1983), p. 390.
  - 7 Reich, *Alban Berg*, pp. 21–7 ('Klaviersonate, op. 1'), pp. 27–31 ('Vier Lieder, op. 2'), pp. 31–5 ('Sieben frühe Lieder'), pp. 35–43 ('Streichquartett, op. 3'), pp. 47–52 ('Vier Stücke für Klarinette und Klavier'), pp. 52–64 ('Drei Orchesterstücke, op. 6'), pp. 91–101 ('Lyrische Suite für Streichquartett'), pp. 101–6 ('Konzertarie "Der Wein"').
  - 8 Wiesengrund began publishing essays under the name 'Theodor Wiesengrund-Adorno' in the 1930s, but people who knew him continued to refer to him and address him as 'Wiesengrund'. Berg refers to him exclusively in this way. By 1943 he is 'Dr. Adorno' (see Thomas Mann, *Die Entstehung des 'Doktor Faustus'* (Frankfurt: Fischer, 1949), pp. 31–5 *et passim*).
  - 9 Adorno, *Philosophie der neuen Musik* (Tübingen: J. C. B. Mohr, 1949). Eng. trans. of 2nd edn (Frankfurt: Europäische Verlagsanstalt, 1958) as *Philosophy of Modern Music*, trans. A. G. Mitchell and W. V. Blomster (London: Sheed and Ward, 1973). Repr. as vol. 12 of *GS*.
  - 10 Mann describes the writing of the novel and his relations with Adorno in great detail in *Die Entstehung des 'Doktor Faustus'*.
  - 11 Adorno, *GS* 18, pp. 488, 491; *GS* 13, p. 402. Both Berg and Leverkühn find it difficult to focus their general aesthetic interests and confine them to music, both are interested in numerology, etc. Mann adds that in both the real music of Berg and the imaginary music of Leverkühn dissonance is the expression of the serious and spiritual, while harmony and tonality ('das Harmonische und Tonale') stand for hell or the world of the commonplace (Mann, *Tagebücher*, ed. P. Mendelssohn and I. Jens, 9 vols. (Frankfurt: Fischer, 1979–93), 1946, p. 769). None of this really amounts to much.
  - 12 'Die Deutschen fressen immer nur Dreck' (Adorno, *GS* 18, p. 489); cf. *GS* 13, p. 340, *GS* 20, p. 553.
  - 13 Leverkühn rejects the tempting offers of the French impresario Fittelsberg to enter 'le grand monde', maintains his artistic integrity and stays put in his rural retreat. Berg didn't imagine that a concert in Paris would threaten his integrity: he gave one in 1928 (see Jarman, *The Music of Alban Berg*, p. 10 n. 2).



A few more such performances in the 1930s would have allowed Berg to buy an even more powerful car. It is hard to imagine Leverkühn buying a car.

- 14 Mann, *Tagebücher, 1949–1950*, p. 580.
- 15 Adorno's end was as grotesque, in its way, as those of Berg, Webern and Schoenberg. Throughout the 1950s and early 1960s he had kept up a steady stream of social and cultural criticism, but he seems to have been surprised by the German student movement of the mid- and late 1960s and quickly distanced himself from it. A number of incidents – such as his public handshake with the burly police chief who organised the removal of students occupying his Institute for Social Research – caused consternation among members of the left. Finally, a group of women students decided to stage an 'Adorno love-in'. Stripping to the waist, they performed a parody of the Flower Maidens scene from *Parsifal*, dancing in an erotically suggestive way around Adorno as he entered the lecture-hall and pelting him with flowers. This was an extremely astute tactic. Adorno prided himself on not being a prude, but the 'love-in' was too much for him. Shielding his eyes from the sight of the women's breasts with his leather briefcase, he left the lecture-hall – without (for once) speaking. He left for a holiday in Switzerland without trying to lecture again and died there of a heart-attack.
- 16 For a good full-length treatment of Adorno's views on art see Susan Buck-Morss, *The Origin of Negative Dialectics: Theodor W. Adorno, Walter Benjamin, and the Frankfurt Institute* (New York: Macmillan, 1977). The best discussion of Adorno's theory of music is Max Paddison, *Adorno's Aesthetics of Music* (Cambridge: Cambridge University Press, 1993). See also Raymond Geuss, review of Adorno's *Aesthetic Theory*, *Journal of Philosophy* (1986), pp. 732–41.
- 17 See the last section of the final poem ('Le Voyage') in Baudelaire's *Les Fleurs du mal*.
- 18 See W. Benjamin, 'Zentralpark', in *Illuminationen* (Frankfurt: Suhrkamp, 1977), p. 247.
- 19 There might seem to be strong similarities between these views of Adorno and those held by Schoenberg. Schoenberg, too, rejects the idea that the artist is trying to realise beauty, and claims that art must be 'true' ('Die Kunst soll nicht schmücken sondern wahr sein', Willi Reich, *Arnold Schönberg oder Der konservative Revolutionär* (Vienna: Fritz Molden Verlag, 1968), p. 44; cf. Adorno, *GS* 18, p. 62). Schoenberg also gives a central place to the 'necessity' of artistic production (see *Harmonielehre*, 3rd rev. edn (Vienna: Universal Edition, 1922), chapter 22; *Stil und Gedanke: Aufsätze zur Musik*, ed. I. Vojtech (Frankfurt: Fischer, 1976), p. 73). However, when Schoenberg speaks of 'truth' he usually seems to have in mind authenticity of expression, that a musically elaborated form of an original inspiration ('Einfall') is *true to* that 'Einfall' and hence an authentic expression of the composer (*Stil und Gedanke*, p. 6). This notion of truth of expression is completely different from Adorno's Hegelian idea of 'truth'. For Adorno, the expressionist self and its 'Einfälle' are not the absolute to which art must be true (*GS* 12, p. 52). Crudely put, the composer may have a worthless 'Einfall', and an authentic elaboration of it won't make it a work of art. Similarly, when Schoenberg speaks of 'necessity' he seems usually to mean the composer's inner need for self-expression, not the neces-

- sity of a particular solution to the puzzle the material presents. On freedom and necessity see Adorno's two essays 'Reaktion und Fortschritt' (GS 16) and 'Stilgeschichte in Schönbergs Werk' (GS 18), both from the 1930s.
- 20 Adorno, GS 12, pp. 13–19.
  - 21 Stravinsky's published comments on political matters over the course of a long lifetime present a no less contradictory picture than do his remarks on many other matters. In the 1930s and 1940s he seems to have had little time for Hitler but quite a lot of time for Mussolini and some sympathy for Franco, though his words and actions are perhaps easier to reconcile with an instinct for self-preservation than with a strong and consistent political stance. See 'Stravinsky's Politics', in Vera Stravinsky and Robert Craft (eds.), *Stravinsky in Pictures and Documents* (New York: Simon and Schuster, 1978), pp. 547–58. [Ed.]
  - 22 In the 'Preface' to *Philosophie der neuen Musik*, Adorno states that the book can be seen as an 'excursus' to *Dialektik der Aufklärung*, a book he wrote jointly with Max Horkheimer in the early 1940s.
  - 23 The most concise and accessible account of this work is in David Held's *Introduction to Critical Theory: Horkheimer to Habermas* (Berkeley: University of California Press, 1980), chapter 5; see also Paul Connerton, *The Tragedy of Enlightenment: An Essay on the Frankfurt School* (Cambridge: Cambridge University Press, 1980).
  - 24 It is precisely this that Schoenberg seems to want to deny by denying that there is a twelve-note system and insisting that he had invented a method or technique: 'One must follow the series; but nevertheless one composes as freely as before' ('Man muss der Grundreihe folgen; aber trotzdem komponiert man so frei wie zuvor', *Stil und Gedanke*, p. 80). Schoenberg always said that Adorno had missed the point (see his letter of 27 July 1932 to Rudolf Kolisch: *Stil und Gedanke*, p. 150). Adorno tries to defend himself in the 'Vorrede' to his *Moments Musicaux* (in GS 16). If the method of composing with twelve notes related only to each other is just a method and 'not the only route to the solution of the new problems' (Maegard, 'Zu Th. W. Adornos Rolle', p. 218) then one of the main assumptions of *Philosophie der neuen Musik* is undermined. Note that there is another (and much less plausible) version of Schoenberg's famous dictum, namely: 'One follows the series, but composes just as before' ('Man folgt der Grundreihe, komponiert aber im übrigen wie zuvor'). Twelve-note composition might well be 'just as free' as tonal composition, but it is very hard to believe it can be just like it.
  - 25 Adorno, *Philosophy of Modern Music*, pp. 68–9. GS 12: 'Das Subjekt gebietet über die Musik durchs rationale System, um selbst dem rationalen System zu erliegen.' (p. 68); 'Die neue Ordnung der Zwölftontechnik löscht virtuell das Subjekt aus.' (p. 70).
  - 26 Adorno, GS 14, p. 9.
  - 27 Adorno, GS 12, pp. 122–6.
  - 28 Adorno, GS 18, p. 668. Note that Adorno is constantly praising Berg's 'economy' (e.g. GS 18, p. 462).
  - 29 Adorno, *Philosophy of Modern Music*, p. 30. 'Die einzigen Werke heute, die zählen, sind die, welche keine Werke mehr sind.' GS 12, p. 37.

- 30 For details see Jarman, *Alban Berg: Lulu*, chapters 1 and 2.
- 31 Including, apparently, Schoenberg (*The Berg–Schoenberg Correspondence*, p. 365).
- 32 ‘I cannot say with certainty whether it is I who first pointed him toward *Lulu*, as it now seems to me upon reflection; in such cases it is easy to err out of narcissism’ (*Alban Berg*, p. 26). This is so uncharacteristically modest one might be tempted to think there is something to it. In any case since we know that Berg attended a performance of *Die Büchse der Pandora* in 1905, almost twenty years before he first met Adorno (who, after all was only born in 1903), Adorno can at most imply that he drew Berg’s attention to the operatic possibilities of a play which the composer already knew well.
- 33 Given Berg’s evident fascination with ways in which music can emerge gradually from noise (see Adorno, *GS* 13, pp. 416–21; also Perle, *Wozzeck*, p. 10) it is a shame that we will never hear Pippa’s musical glass.
- 34 See Adorno–Benjamin, *Briefwechsel*, p. 398.
- 35 Repr. in Jarman, *Alban Berg: Wozzeck*, p. 138.
- 36 Repr. in *ibid.*, p. 156.
- 37 See Perle, *Wozzeck*, pp. 25–37.
- 38 Adorno, *GS* 12, p. 37.
- 39 Adorno, *GS* 16, p. 94: ‘jedes Stück Bergs war seiner Unmöglichkeit abgelistet’.
- 40 Adorno, *GS* 12, p. 37.
- 41 Friedrich Cerha, ‘Some Further Notes on my Realization of Act III of *Lulu*’, in Jarman (ed.), *The Berg Companion*, pp. 261–7.
- 42 Adorno, *GS* 13, p. 452.
- 43 Adorno, *GS* 18, p. 458, 654; *GS* 13, pp. 325–30.
- 44 Adorno, *GS* 18, pp. 667–70; cf. *GS* 13, p. 355.
- 45 Adorno, *GS* 13, p. 440.
- 46 Adorno, *GS* 18, pp. 467, 475; *GS* 16, pp. 88–90.
- 47 See Nietzsche’s discussion of ‘active’ and ‘passive’ pessimism in *Der Wille zur Macht*, ed. P. Gast and E. Förster-Nietzsche (Stuttgart: Kröner, 1964), pp. 10–96.
- 48 Adorno, *GS* 13, p. 346.
- 49 Adorno, *GS* 18, p. 461; *GS* 16, pp. 90–96. This, of course, is just what Boulez objects to in his early essay ‘Incidences actuelles de Berg’ (1948) – Boulez playing Baudelaire, as it were, to Adorno’s Hegel (Eng. trans. as ‘The Current Impact of Berg (the Fortnight of Austrian Music in Paris)’, in *Stocktakings from an Apprenticeship*, trans. S. Walsh (Oxford: Clarendon, 1991), pp. 183–7).
- 50 Adorno, *GS* 18, p. 500: ‘Das Stehen-Lassen der Brüche zwischen Moderne und Spätromantik ist angemessener als begänne die Musik absolut von vorn; eben damit fiele sie dem undurchschauten Gewesenen zur Beute.’
- 51 See Pople, *Berg: Violin Concerto*, pp. 98–9.
- 52 Adorno, *GS* 18, p. 500; *GS* 13, p. 350; *GS* 15, p. 340.
- 53 Adorno, *GS* 18, pp. 499–501; *GS* 13, p. 349. Contrast this again with Boulez’s ‘The Current Impact of Berg’.
- 54 Adorno, *GS* 16, p. 86.
- 55 Adorno, *GS* 18, p. 500; cf. *ibid.*, pp. 667–70.
- 56 For instance in the open letter to Schoenberg about the Chamber Concerto

- (Eng. trans. in Reich, *Life and Work*, pp. 143–8, and in *The Berg–Schoenberg Correspondence*, pp. 334–7).
- 57 Robert P. Morgan, ‘The Eternal Return: Retrograde and Circular Form in Berg’, in Gable and Morgan (eds.), *Alban Berg*, pp. 111–49.
- 58 Adorno, *GS* 12, p. 10.
- 59 Adorno, *GS* 4, p. 281; *GS* 12, pp. 122–6.
- 60 See Douglas Jarman, ‘Alban Berg, Wilhelm Fliess, and the Secret Programme of the Violin Concerto’, in Jarman (ed.), *The Berg Companion*, pp. 181–94.
- 61 Adorno, ‘Aberglaube aus zweiter Hand’, in *GS* 8, pp. 147–76.
- 62 Adorno, *GS* 13, pp. 22–3.
- 63 *Ibid.*, pp. 342–3.
- 64 *Ibid.*, p. 347. Oddly enough, Adorno, who throughout his life was known to his friends as ‘Teddie’, was also very much ‘like’ his name. If Berg was an alpine chapel, the short, stout Adorno, who spoke continuously in an over-articulated voice, was an animated teddy-bear, who kept trying to cover himself in as many glittering ornaments as possible.
- 65 Adorno admits this to Benjamin (see Adorno–Benjamin, *Briefwechsel*, pp. 344–5).

#### 4 Early works: tonality and beyond

- 1 ‘An Leukon’, in Reich, *Alban Berg*, appendix, pp. 14–15.
- 2 Letter to Emil Hertzka (managing director of Universal Edition, Vienna), dated 5 January 1910. Arnold Schoenberg, *Letters*, ed. Erwin Stein, trans. Eithne Wilkins and Ernst Kaiser (London: Faber, 1964), p. 23.
- 3 Ten years Alban’s senior, Watznauer filled a void left by the recent death of his father Conrad Berg (1846–1900) and the absence of his eldest brother Hermann (1872–1921) in the United States. Berg’s letters to Watznauer give ample evidence of a consuming interest in the arts and a readiness to indulge in passionate responses to works of literature and music.
- 4 Watznauer’s biography is published with expansions and commentary in Erich Alban Berg, *Der unverbesserliche Romantiker*, pp. 9–117. The chronology of the songs is reproduced on pp. 152–3.
- 5 ‘Liebe’, ‘Im Morgengrauen’, ‘Grabschrift’ and ‘Traum’ are published in the *Jugendlieder* (Vol. I nos. 21–3, Vol. II no. 1); an excerpt from ‘Wandert, ihr Wolken’ may be found in Nicholas Chadwick, ‘Berg’s Unpublished Songs in the Österreichische Nationalbibliothek’, *Music and Letters*, 52 (1971), p. 130.
- 6 This is the date given by Watznauer (Erich Alban Berg, *Der unverbesserliche Romantiker*, p. 68) and by Willi Reich on Watznauer’s authority. Whilst publishing Watznauer’s chronology intact, Erich Alban Berg himself suggests independently that the song was performed in public by Smaragda Berg, accompanied by her brother, on 12 April 1905 (*Der unverbesserliche Romantiker*, pp. 58, 150).
- 7 The concert programme is reproduced in Erich Alban Berg, *Alban Berg: Leben und Werk*, p. 107.
- 8 ‘The Teacher’s Testimonial’, in Reich, *Life and Work*, p. 28.
- 9 Chadwick, ‘Berg’s Unpublished Songs’, p. 137.

- 10 Adorno writes, though almost certainly without knowledge of the manuscript evidence: ‘One could well imagine that [Op. 1] came about in response to the assignment “sonata movement”’ (*Alban Berg*, p. 40).
- 11 Reich, *Alban Berg*, p. 10.
- 12 Hilmar, *Katalog*, p. 75.
- 13 Perle, *Wozzeck*, p. 2. It is indeed difficult if not impossible fully to correlate the contents of the manuscript sources and sketches of Opp. 1–3 (as described in Hilmar, *Katalog* and Floros, *Alban Berg*, p. 156) with the dates given in many apparently authoritative general commentaries.
- 14 This is the view expressed by Ulrich Krämer in his essay issued with the CD recording JD 643–2 (Zurich: Jecklin–Disco, 1990).
- 15 See pp. 161–2.
- 16 Redlich, *Alban Berg: Versuch einer Würdigung*, p. 355 n. 47. The fact that Polnauer did not begin his studies with Schoenberg until 1909 perhaps supports the dating of Op. 1 to that year, although it is of course entirely possible that he heard the anecdote from Berg subsequently.
- 17 By Adorno, for example (*Alban Berg*, pp. 40–42).
- 18 *Ibid.*, p. 43. For a lucid commentary on and development of Adorno’s analysis, see Max Paddison, *Adorno’s Aesthetics of Music* (Cambridge: Cambridge University Press, 1993), pp. 158–68 and 279–84.
- 19 See Berg’s letter to Robert Lienau Verlag, 26 June 1920, transcription and facsimile in Rosemary Hilmar (ed.), *Katalog der Schriftstücke von der Hand Alban Bergs, der fremschriftlichen und gedruckten Dokumente zur Lebensgeschichte und zu seinem Werk* [*Alban Berg Studien*, 1/ii] (Vienna: Universal Edition, 1985), pp. 122–4.
- 20 See chapter 5; also Douglas Jarman, ‘Alban Berg: The Origins of a Method’, *Music Analysis*, 6 (1987), pp. 273–88.
- 21 Bruce Archibald, ‘Berg’s Development as an Instrumental Composer’, in Jarman (ed.), *The Berg Companion*, p. 94.
- 22 Adorno, *Alban Berg*, pp. 43, 46.
- 23 Mark DeVoto, ‘Alban Berg and Creeping Chromaticism’, in Gable and Morgan (eds.), *Alban Berg*, pp. 57–78.
- 24 Schoenberg, *Theory of Harmony*, trans. Roy. E. Carter (London: Faber, 1978), pp. 258–67, 360–65.
- 25 *Ibid.*, pp. 258–9 (translation adapted).
- 26 *Ibid.*, p. 258.
- 27 See Clara Steuermann reporting the views of her late husband, the Schoenberg pupil Eduard Steuermann (1892–1964), and Eduard Steuermann’s own words quoted from an interview with Gunther Schuller, in Joan Allen Smith, *Schoenberg and his Circle: A Viennese Portrait* (New York: Schirmer, 1986), pp. 138–9.
- 28 Adorno, *Alban Berg*, p. 41.
- 29 DeVoto, ‘Alban Berg and Creeping Chromaticism’, p. 67. See also his discussion in Walter Piston, *Harmony*, 4th edn, revised and expanded by Mark DeVoto (New York: Norton, 1978), p. 491.
- 30 Max Paddison sees a model for this passage in the Prelude to Wagner’s *Tristan und Isolde* (*Adorno’s Aesthetics of Music*, pp. 279–84).

- 31 See Steven Kett, 'A Conservative Revolution: The Music of the Four Songs Op. 2', in Jarman (ed.), *The Berg Companion*, pp. 69–70; Floros, *Alban Berg*, p. 156; Hilmar, *Katalog der Musikhandschriften*, pp. 45, 48, 75; also Watznauer's chronology (in Erich Alban Berg, *Der unverbesserliche Romantiker*, p. 76). We should be wary of the latter source, however, as Watznauer assigns all four of the Op. 2 songs to 1908, and mistakenly attributes the poem of Op. 2/i to Hohenberg rather than Hebbel.
- 32 This topic may have suggested itself to Berg by way of an exhibition at the Viennese Secession in 1909 which featured the painting *Die Schlafenden* by Josef Engelhart (1864–1941). See Kett, 'A Conservative Revolution', p. 70.
- 33 Adorno, *Alban Berg*, p. 49; Mosco Carner, *Alban Berg: The Man and the Work*, 2nd edn (London: Duckworth, 1983), p. 100; DeVoto, 'Berg the Composer of Songs', in Jarman (ed.), *The Berg Companion*, p. 44.
- 34 Stephen Kett also draws this comparison with Schoenberg's cycle ('A Conservative Revolution', p. 82).
- 35  $C\sharp = 0, C\sharp/D\flat = 1, \dots B\flat/C\flat = 11$ . This standard notation follows the work of the influential American music theorist Allen Forte.
- 36 The classic analysis of the song in these terms is found in Craig Ayrey, 'Berg's "Scheideweg": Analytical Issues in Op. 2/ii', *Music Analysis*, 1 (1982), pp. 189–202. Ayrey interprets '[an] image of the piece as complete and self-referential', suggesting that 'hierarchical repetition proceeds from the projection of the vertical symmetry of the first chord's set ... onto a foreground linear paradigm, and thence through the complete structure' (p. 200).
- 37 This is to say, in untransposed form,  $[C, E, F\sharp/G\flat, A\sharp/B\flat]$  (the chord can of course be formed on any of the twelve chromatic pitches). The notation  $[0, 4, 6, 10]$  does not of itself identify a 'root' for the chord; if the chord appears in a context that allows it to be interpreted as tonally functional, then either C or  $F\sharp/G\flat$  (at the untransposed pitch-level) would be regarded as the root, depending on the details of the voice-leading.
- 38 See Jarman, *The Music of Alban Berg*, p. 148.
- 39 Schoenberg's discussion of his Ex. 342 in *Theory of Harmony*, pp. 418–19, similarly invokes a linkage of dominant-quality sonorities at the tritone in explaining a chord from *Erwartung*; his Ex. 342a presents exactly the three upper voices of Berg's Op. 2/i, bar 5, indicating that Schoenberg thought of the augmented ninth ( $F\sharp$ ) as a dissonance which is resolved through the melodic motion to E.
- 40 Kett, 'A Conservative Revolution', p. 74.
- 41 Robert P. Morgan, 'The Eternal Return: Retrograde and Circular Form in Berg', in Gable and Morgan (eds.), *Alban Berg*, pp. 134–6.
- 42 I am ultimately grateful to Christopher Wintle for insisting on this point, albeit differently nuanced, in a public exchange of views, though the analysis given here synthesises his observations with others I have made previously. See Anthony Pople, 'Secret Programmes: Themes and Techniques in Recent Berg Scholarship', *Music Analysis*, 12 (1993), pp. 392–4, and Christopher Wintle and Douglas Jarman, 'Recent Berg Scholarship: Responses to Anthony Pople', *Music Analysis*, 13 (1994), pp. 310–12. Stephen Kett also identifies the whole-tone planes of motion in 'A Conservative Revolution', pp. 82–3.

- 43 Schoenberg, *Theory of Harmony*, p. 420.
- 44 Adorno, *Alban Berg*, p. 54. The emphasis is Adorno's.
- 45 In music, this was one strand in a wider discussion: see Carl Dahlhaus, *The Idea of Absolute Music*, trans. Roger Lustig (Chicago: University of Chicago Press, 1989), esp. chapter 2.
- 46 Floros, *Alban Berg*, pp. 154–5.
- 47 *Letters to his Wife*, pp. 106–11. Not everything in this letter was entirely accurate: Berg occasionally stretched the truth in order to make a point. But, perhaps fortunately, its intended recipient never read it: it was placed unopened in Helene's room. Their enforced separation ended in early September of that year and the couple were married on 3 May 1911. The Quartet had received its first performance, privately, a few weeks earlier on 24 April.
- 48 Carner, *Alban Berg*, p. 118.
- 49 Adorno, *Alban Berg*, p. 53.
- 50 See chapter 8.
- 51 See, for example, Dahlhaus, *The Idea of Absolute Music*, chapter 9 ('The Idea of the Musically Absolute and the Practice of Program Music').
- 52 Redlich, *Alban Berg: Versuch einer Würdigung*, p. 63.
- 53 The terminology is George Perle's ('Berg's Master Array'). This article is based on an interpretation of Berg's letter of 27 July 1920 to Schoenberg (*The Berg–Schoenberg Correspondence*, p. 283).
- 54 Redlich, *Alban Berg: Versuch einer Würdigung*, pp. 64–5.
- 55 Floros, *Alban Berg*, pp. 165–6.
- 56 Adorno, *Alban Berg*, p. 53.
- 57 Floros, *Alban Berg*, pp. 156–8.
- 58 See DeVoto, 'Alban Berg and Creeping Chromaticism', pp. 72–3.
- 59 Berg to Helene, 16 July 1909 (*Briefe an seine Frau*, p. 71; *Letters to his Wife*, p. 62).

### 5 Berg's aphoristic pieces

- 1 The date of this visit was 4–11 June (*The Berg–Schoenberg Correspondence*, p. 179 n. 1).
- 2 Reich, *Life and Work*, p. 41. This statement is difficult to reconcile with Reich's own chronology (p. 113), which gives 'summer 1913' as the date of composition of Op. 5.
- 3 Regina Busch (in a personal communication) expresses doubts, based on the same uncertainty of language that attracts my attention, that Reich and Berg ever talked about this meeting – had the information come from Berg himself surely Reich would have said so – and remarks further that the relationship between Reich and Schoenberg was not such that they would have been likely to speak of it. During the preparation of this chapter I became fascinated by the dearth of authoritative information concerning either the subject of this meeting or the date on which Berg finished his Op. 5. In the course of trying to pin down the sources of the meagre (but confidently offered) information contained in the first-generation books on Berg I corresponded with several scholars whose generosity in sharing their knowledge was as impressive as their readiness to devote time to answering my questions: my warmest thanks

to Bruce Archibald, Regina Busch, Mark DeVoto, Christopher Hailey and Douglas Jarman.

- 4 Redlich, *Alban Berg: The Man and His Music*, p. 234. The original German-language edition speaks of ‘[eine] Krise in Bergs geistiger Existenz’ (*Alban Berg: Versuch einer Würdigung*, p. 302). Redlich’s use of the word ‘spiritual’ in the English version (one might expect ‘intellectual’) is a bit odd, unless he was of the opinion that the criticism was of something more personal than the style of Berg’s latest compositions. This interpretation of the meeting seems to me a very likely one, in view of the impatience with Berg’s personal habits that is expressed repeatedly in Schoenberg’s letters to him.
- 5 *The Berg–Schoenberg Correspondence*, p. 256. Berg made piano reductions of Franz Schreker’s *Der ferne Klang* in 1911 and Schoenberg’s *Gurrelieder* and the two vocal movements of Schoenberg’s Second String Quartet in 1912.
- 6 This concert, conducted by Schoenberg in the Musikvereinsaal on 31 March, broke into a riot during the performance of Berg’s songs and could not be finished. It was one of the best documented scandals in recent concert history, leading to lawsuits and a good deal of caricature and critical comment (see p. 24). Berg kept Schoenberg posted on the aftermath of the concert in letters of 2, 3, 4, 7–8, 16 and 24 April and 6 May (*The Berg–Schoenberg Correspondence*, pp. 166–76). According to Reich, Berg was so dispirited as a result of the hostile reception given his two songs that he wrote in a letter to Webern, ‘The whole thing is so loathsome that one would like to fly far away’ (Reich, *Life and Work*, pp. 40–41). He never sought another performance for the work, and it was not done again during his lifetime.
- 7 During this time Berg had also written bits of a symphony which remained unfinished. It is not certain that Schoenberg had seen this work, and in any case it would not have shared the ‘aphoristic’ style of the Op. 4 and Op. 5 pieces – as can be seen from the page of the extant *Particell* fragment reproduced in Hilmar, *Katalog*, p. 159.
- 8 Having acknowledged receiving Schoenberg’s ‘censure’ during the Berlin visit, it is surprising that Berg should have written, in his long and heartfelt letter of late November 1915, that ‘The 1st time I noticed your dissatisfaction with me was during the Amsterdam trip’ (*The Berg–Schoenberg Correspondence*, p. 256). This presumably refers to Berg’s tour with Schoenberg and others to Prague, Leipzig and Amsterdam which took in a performance of the latter’s Five Orchestral Pieces Op. 16 in Amsterdam on 12 March 1914 (*ibid.*, p. 203 n. 1). Berg wrote to Helene from there on 10 March, but his letter gives no inkling yet of any disagreement with Schoenberg (*Briefe an seine Frau*, pp. 244–7, *Letters to his Wife*, pp. 152–4); it does, however, mention the clarinet pieces, which Berg had promised to send to some Dutch musicians. In a slightly later letter to Helene, Berg explains his proposal to dedicate the Three Orchestral Pieces Op. 6 to Schoenberg, who ‘has long been due for a large-scale work dedicated to him ... He asked for it outright in Amsterdam ... He “ordered” it, in fact’ (letter of 11 July 1914, *Briefe an seine Frau*, p. 253; *Letters to his Wife*, p. 159). [Ed.]
- 9 Schoenberg chides him for his verbal extravagance in a letter dated 28 November 1913: ‘... *be more concise*. You always write so many excuses, parenthetical asides, “developments,” “extensions,” and stylizations that it takes a long time



- to figure out what you're driving at' (*The Berg–Schoenberg Correspondence*, p. 196).
- 10 According to Schoenberg this piece was inspired by the sun's appearance from behind a cloud at the funeral of Gustav Mahler. It is a picturesque setting, almost entirely without motion or activity.
  - 11 Mark DeVoto sees the motivic organisation of the *Altenberg Lieder* as their 'pervasive, distinguishing feature' ('Alban Berg's Picture-Postcard Songs', PhD diss., Princeton University, 1967, p. 7).
  - 12 For analyses of Op. 4 see DeVoto, 'Alban Berg's Picture-Postcard Songs'; also his 'Some Notes on the Unknown *Altenberg Lieder*', *Perspectives of New Music*, 5/i (Fall/Winter 1966), pp. 37–74, and 'Berg the Composer of Songs', in Jarman (ed.), *The Berg Companion*, pp. 47–66. See also René Leibowitz, 'Alban Berg's Five Orchestral Songs after Postcard Texts by Peter Altenberg, Op. 4', *The Musical Quarterly*, 34 (1948), pp. 487–511; Adorno, *Alban Berg*, pp. 62–7; and Rolf Urs Ringger, 'Zur formbildenden Kraft des vertonten Wortes', *Schweizerische Musikzeitung*, 99 (1959), pp. 227–9 (an analysis of the second song only). The Altenberg texts are discussed by David C. Schroeder in 'Alban Berg and Peter Altenberg: Intimate Art and the Aesthetics of Life', *Journal of the American Musicological Society*, 46 (1993), pp. 261–94.
  - 13 See DeVoto, 'Alban Berg's Picture-Postcard Songs', p. 91; and Jarman, *The Music of Alban Berg*, pp. 5–6.
  - 14 DeVoto believes this was the first song to be written. See DeVoto, 'Alban Berg's Picture-Postcard Songs', p. 91 and Jarman, *The Music of Alban Berg*, pp. 5–6.
  - 15 This anticipates the figure in *Lulu* that analysts have agreed to call 'Basic Cell I' (see Perle, *Lulu*, p. 87; Jarman, *The Music of Alban Berg*, p. 86). Jarman discusses the importance of *Lulu*'s Basic Cells I and III in this song in 'Alban Berg: The Origins of a Method', *Music Analysis*, 6 (1987), pp. 280–84.
  - 16 DeVoto, 'Alban Berg's Picture-Postcard Songs', p. 70.
  - 17 The two lines of text concerned are subtly different: 'Über die Grenzen des All blicktest du sinnend hinaus' ('You gazed pensively over the edge of the world') and 'Über die Grenzen des All blickst du noch sinnend hinaus' ('You are still gazing ...'). The twelve-note chord used to accompany the initial statement, in the past tense, is gradually recalled as the statement of continuation in the present tense unfolds.
  - 18 This musical quotation probably points out a textual similarity: in song three, 'Hattest nie Sorge um Hof und Haus!' ('Not a care for house and home!'); in song five, '... hier sind keine Menschen, keine Ansiedlungen' ('... here are no people, no settlements').
  - 19 See also p. 199.
  - 20 Both these events are in response to the text. The static *Klangfarben* chord accompanies the text 'Ich habe gewartet, gewartet, oh, gewartet!' ('I have waited, waited, oh, waited!'), while the clarinets tumbling down in helter-skelter fashion immediately after usher in the text 'Die Tage werden dahinschleichen' ('The days will slip away').
  - 21 These pieces are discussed by Adorno (*Alban Berg*, pp. 67–71), Bruce Archibald ('Berg's Development as an Instrumental Composer', in Jarman (ed.), *The Berg Companion*, pp. 106–10), William Devotis ('Vier Stücke für Klarinette und

- Klavier, Op. 5; *Musik-Konzepte 9: Alban Berg Kammermusik II*, ed. Heinz-Klaus Metzger and Rainer Riehn, July 1979), Diether de la Motte (*Musikalische Analyse mit kritischen Anmerkungen von Carl Dahlhaus* (Kassel: Bärenreiter, 1972), pp. 131–45) and Wallace Berry (*Musical Structure and Performance* (New Haven: Yale University Press, 1989), chapter 4).
- 22 Similar substitutions of one interval cycle for another in the String Quartet Op. 3 are discussed on pp. 78–80.
  - 23 Jarman, *The Music of Alban Berg*, pp. 23–4.
  - 24 Adorno sees a resemblance between this movement and the *fourth* of Schoenberg's set (*Alban Berg*, p. 71). This discrepancy is as good evidence as any for the degree to which the Berg pieces deviate from their models.
  - 25 Jarman, *The Music of Alban Berg*, p. 3 n. 2.
  - 26 *The Berg–Schoenberg Correspondence*, p. 143.
  - 27 This letter accompanied a copy of the Three Orchestral Pieces Op. 6, which were dedicated to Schoenberg. In this letter he said 'For four years it has been my secret but no less fervent wish to dedicate something to you ... Unfortunately my hope of writing something ... to dedicate to you without angering you, eluded me for several years' (*The Berg–Schoenberg Correspondence*, p. 214).
- 6 Berg, Mahler and the Three Orchestral Pieces Op. 6**
- 1 See, for example, Redlich, *Alban Berg: The Man and his Music*, esp. pp. 50–51, 57, 65–6, 71, 140–42; Reich, *Life and Work* (many separate references). It is worth noting the Mahlerian sympathies of both writers, Reich having been a pupil of Berg and Redlich having worked on the fringes of the Schoenberg circle between the wars. Other writers who have emphasised Mahler's influence on the Op. 6 pieces are René Leibowitz, *Schoenberg and his School*, trans. D. Newlin (New York: Da Capo, 1975), p. 153, and Adorno, *Alban Berg*, p. 7. For a recent study of Mahler's influence on *Wozzeck*, see Patrick Lang, 'Mahler, mein lebendes Ideal: zum Einfluss Gustav Mahlers auf Berg und *Wozzeck*', in Beat Hanselmann (ed.), *Berg Wozzeck: der Opernführer* (Munich: PremOp, 1992), pp. 191–208.
  - 2 Landmark publications are Joseph Straus, *Remaking the Past: Musical Modernism and the Influence of the Tonal Tradition* (Cambridge, MA: Harvard University Press, 1990), and Kevin Korsyn, 'Towards a New Poetics of Musical Influence', *Music Analysis*, 10 (1991), pp. 3–72. Both acknowledge the influence of Harold Bloom's work in literary theory, or, rather, take Bloom's work as a starting-point. Bloom's main contributions here are *The Anxiety of Influence: A Theory of Poetry* (London: Oxford University Press, 1973), *A Map of Misreading* (Oxford: Oxford University Press, 1975) and *Poetics of Influence* (New Haven: Schwab, 1988).
  - 3 The principal sources here are Jarman, *The Music of Alban Berg*, pp. 37–46, and two articles by Mark DeVoto: 'Alban Bergs *Drei Orchesterstücke* op. 6: Struktur, Thematik und ihr Verhältnis zu *Wozzeck*', in Rudolf Klein (ed.), *Alban Berg Studien*, 2 (Vienna: Universal Edition, 1981), pp. 97–106, and 'Alban Berg's "Marche macabre"', *Perspectives of New Music*, 22/ii (1984), pp. 386–447. There is also an article by Michael Taylor, 'Musical Progression in the "Präludium" of

- the Three Orchestral Pieces op. 6', in Jarman (ed.), *The Berg Companion*, pp. 123–39; unfortunately Taylor's detailed analysis does not get beyond bar 15.
- 4 *Letters to his Wife*, pp. 32, 37–8, 63, 90, 134, 147–8, 181, 300. Some editorial inconsistencies have been preserved.
  - 5 Berg refers to some of these occasions in his letters to Schoenberg: see *The Berg–Schoenberg Correspondence*. Schoenberg's analytical comments on the Andante of Mahler's Sixth Symphony, the work to which Berg makes special reference, are preserved in 'Gustav Mahler', *Style and Idea*, 2nd edn, ed. Leonard Stein (London: Faber, 1975).
  - 6 *The Berg–Schoenberg Correspondence*, p. 87.
  - 7 Reich, *Life and Work*, p. 19. See also Erich Alban Berg, *Alban Berg: Leben und Werk* (Frankfurt: Insel, 1976), p. 104.
  - 8 Reich, *Life and Work*, p. 17.
  - 9 Hilmar, *Alban Berg*, p. 178.
  - 10 Reich, *Life and Work*, p. 25; Hilmar, *Alban Berg*, p. 42.
  - 11 Reich, *Life and Work*, p. 34; Hilmar, *Alban Berg*, p. 48.
  - 12 Hilmar, *Alban Berg*, p. 57.
  - 13 *Ibid.*, p. 56.
  - 14 *Ibid.*, p. 87. See also *The Berg–Schoenberg Correspondence*, p. 98. Of the four-hand arrangement of the Ninth, Berg wrote: 'This is music no longer of this world. Mysteriously beautiful and magnificent.' (*The Berg–Schoenberg Correspondence*, p. 96.)
  - 15 See also Berg's comments on a performance of the Eighth Symphony: *The Berg–Schoenberg Correspondence*, p. 79.
  - 16 *Ibid.*, p. 118.
  - 17 Quoted in Kurt Blaukopf, *Mahler: A Documentary Study* (London: Thames and Hudson, 1976), p. 250.
  - 18 Natalie Bauer-Lechner, *Recollections of Gustav Mahler*, trans. D. Newlin, ed. P. Franklin (London: Faber, 1980), p. 40.
  - 19 See the fascinating chart showing eight of the versions it went through, in Henri Louis de la Grange, *Mahler* (London: Gollancz, 1976), pp. 798–9.
  - 20 Letter of 18(?) August 1906, in *Selected Letters of Gustav Mahler*, ed. Knud Martner (London: Faber, 1980), p. 294.
  - 21 A famous list of contents for the *Fourth* Symphony gives movement five as a scherzo in D major with the subtitle 'Der Welt ohne Schwere'. This is generally assumed to have 'become' the Scherzo of the Fifth. See Paul Bekker, *Gustav Mahlers Sinfonien* (Berlin, 1921), p. 145, and Donald Mitchell, *Gustav Mahler: The Wunderhorn Years* (London: Faber, 1975), p. 139.
  - 22 Schoenberg's full title for this section was *Totentanz der Prinzipien*. Its high moral and religious concerns are, it must be admitted, about as far from Mahler as can be imagined.
  - 23 On Schoenberg's symphony, see (for an outline of its likely contents) Josef Rufer, *The Works of Arnold Schoenberg* (London: Faber, 1962), trans. D. Newlin, pp. 115–18, and (for a more searching discussion) Alan P. Lessem, *Music and Text in the Works of Arnold Schoenberg* (Ann Arbor: UMI, 1979), pp. 177–80.
  - 24 Quoted in Redlich, *Alban Berg: The Man and his Music*, pp. 65–6. The sketches

- are published in the Berg Collected Edition: see *Sämtliche Werke, Separatum: Symfonie-Fragmente*, ed. Rudolf Stephan (Vienna: Universal Edition, 1984).
- 25 *The Berg–Schoenberg Correspondence*, p. 182.
- 26 *Ibid.*, p. 212.
- 27 *Ibid.*, p. 257.
- 28 Programme note to Boulez’s recording, Sony SMK 48 462, p. 6.
- 29 See p. 223; also Jarman, *The Music of Alban Berg*, p. 12.
- 30 Notes to CBS recording, CBS 72614.
- 31 Paraphrased in Reich, *Life and Work*, p. 115.
- 32 See, for example, Perle’s comments in *The New Grove Dictionary of Music and Musicians*, ed. Stanley Sadie, Vol. 2 (London: Macmillan, 1980), p. 527.
- 33 DeVoto, ‘Marche macabre’, p. 105.
- 34 The note to the Philharmonia score, by ‘F. S.’ [Friedrich Saathen], claims that the entire second movement is a reworking of No. 1, but this is an exaggeration.
- 35 This chapter will not go any further in the direction of a *stylistic* investigation of the Berg/Mahler relationship: Reich, Redlich and others have done this, and it is only too easy to add to the list of ‘parallel passages’.
- 36 I say ‘obviously’ because this has been recognised by most critics of Berg.
- 37 Cf. Charles Rosen, *The Romantic Generation* (New York: HarperCollins, 1995), *passim*.
- 38 According to Mengelberg, Mahler composed his *Adagietto* on the basis of a poem which was then deleted from the score. Mengelberg’s conducting copy, into which he wrote the words, is reproduced in *Gustav Mahler: Adagietto*, ed. Gilbert E. Kaplan (New York: Kaplan, 1992), p. 20. Berg is known to have composed the finale of his *Lyric Suite* the same way (see p. 168).
- 39 Jarman, *The Music of Alban Berg*, p. 45. The reference is to Erwin Stein’s description of Mahler’s motivic technique, which he compares to the shuffling of a pack of cards. Although one might find isolated examples of this in Berg’s Op. 6, Mahler’s use of the technique is and remains, as far as I have been able to discover, unique.
- 40 Redlich, *Alban Berg: The Man and his Music*, p. 71.
- 41 *Conversations with Klemperer*, ed. Peter Heyworth (London: Gollancz, 1973), p. 33.
- 42 There has to be a query about the end of the melody because it leads so naturally into the closing section.
- 43 The passage was written for alto trombone in the first, unpublished version; when Berg revised the score in 1929 he rewrote it for the tenor instrument.
- 44 Arnold Schoenberg, *Fundamentals of Musical Composition*, ed. Gerald Strang and Leonard Stein (London: Faber, 1967), p. 16.
- 45 See Schoenberg, *Fundamentals*, chapters 5 and 8.
- 46 The diagram in Example 6.2 shows how Berg avoids symmetry by adding one-bar phrases, thus displacing the two-bar phrases so that they fall across the usual 4+4 divisions.
- 47 These are known to me only through the music examples in Taylor, ‘Musical Progression’, pp. 126ff. Incidentally Taylor is the only author to get the period structure of the melody right.

- 48 DeVoto, 'Drei Orchesterstücke', pp. 99–101.
- 49 The chords thus spaced sound very like the chords from Schoenberg's 'Farben', Op. 16 No. 3.
- 50 See Perle, 'Berg's Master Array', and subsequent writings. Berg's actual array, in the form of a music example, is reproduced both in Perle's article and in *The Berg-Schoenberg Correspondence*, p. 283.
- 51 Some comments of a critical nature should be made at this point. The *Präludium* is very hard to grasp aurally. For one thing, it is almost impossible to 'hear' the chords, apart from the odd triadic/seventh-chord formation onto which the ear gratefully latches. Vertically, for the most part, I can't hear it at all, and I doubt that Berg could. Playing through it note by note on the piano helps. The proliferation of motives/lines from around bar 34 to the climax is quite overwhelming. The ear can't possibly take it all in. In preparing this chapter I made a reduction of the score, to help; but in some ways following the score is easier because then the breakdown of H and N, etc., is clear at a glance. Aesthetically bars 34–6 might as well be 'noise', the unpitched batterings one associates with Varèse (and with which the opening of Berg's work is often, and wrongly, compared). Then at bar 37 there is an incredible clarification: the music can be reduced onto four (!) staves again; suddenly things make sense. The calculation involved in the progression from the very first sounds to the melody, and in the descent from the climax to the end, is amazing, wonderful. The evaporation of the chord in bars 51–3, pitch by pitch, is equally good. But the ascent to the climax is hard to fathom because of the mass of detail; and it's all essential, *thematic* detail. In the 1960s, incidentally, this climax became a byword for (pointless) thematic complexity among young British composers when a page of it – actually, p. 12 of the Philharmonia score – was reproduced in one of those symposia on twentieth-century music so popular at the time. For months afterwards every aspiring composer's manuscripts were black with notes.
- 52 Vol. 5 (1980), p. 2130. I am indebted to Alfred Clayton for this reference.
- 53 For this see the *Oxford English Dictionary*, compact edition (New York: Oxford University Press, 1971), Vol. 2, p. 2424, which refers to Chaucer, *House of Fame* (1374–85), Book III, lines 1233–6:
- Ther saugh I famous, olde and yonge,  
Pipers of the Duche tonge,  
To lerne love-daunces, sprynges,  
Reyes, and these straunge thunges.
- The Works of Geoffrey Chaucer*, New Cambridge Edition, ed. F. N. Robinson, 2nd edn (London: Oxford University Press, 1957), p. 294.
- 54 Arthur Schnitzler, *Reigen*, in *Dramatische Werke*, Vol. 1 (Frankfurt: Fischer, 1962).
- 55 See Rode, *Alban Berg und Karl Kraus*, p. 468.
- 56 Bruce Archibald, 'Berg's Development as an Instrumental Composer', in Jarman (ed.), *The Berg Companion*, p. 116. Archibald's work on *Reigen* goes back to the early 1960s.
- 57 Ravel's *La Valse*, like Berg's *Marsch*, is traditionally viewed as a metaphor for the collapse of European civilisation after 1914. For a fascinating account of

- how Ravel ‘attacks’ the basic foundations of the waltz in ways comparable in some respects to Berg’s in *Reigen* see George Benjamin, ‘Last Dance’, *The Musical Times*, 135 (1994), pp. 432–5.
- 58 Berg’s system of bar numbering is idiosyncratic in that he numbers each of the four subdivisions of bar 101 separately but then gives only one number for each subsequent bar (105ff.). Figure 6.1 treats Berg’s bar 106 as ‘109’–‘112’, Berg’s 107 as ‘113’–‘116’, and so on through to the double bar line after Berg’s bar 110 (i.e. ‘125’–‘128’).
- 59 There are too many of them to be listed, or even labelled, here. The interested reader will find the main relationships clearly set out in Perle’s article in *The New Grove*.
- 60 The move from  $\phi$  to  $3/4$  is very well done and effected almost entirely through the harmony; there is no percussion, and not even a pizzicato downbeat till the waltz starts at bar 20. The cross-rhythms of the violins in bars 17–19 confuse the ear but do not actually set up a  $3/4$  pattern, and  $\phi$  persists (small stave) until bar 24.
- 61 Berg later declared *Reigen* to be a study for the tavern scene in *Wozzeck*. See Mosco Carner, *Alban Berg: The Man and the Work*, 2nd edn (London: Duckworth, 1983), p. 144.
- 62 This takes place in four stages:
- bars 94–9      The first four-bar phrase of waltz emerges from the ‘noise’ of the second ostinato passage;
  - bars 98–100    the second four-bar phrase, actually shortened to three and overlaid from bar 97 with the new ‘ $4/2$ ’ (i.e. there is a one-bar overlap);
  - bars 101–4     the first bar of actual  $4/2$ , notated as four  $3/4$  bars separated by broken lines;
  - bars 105–10    six  $4/2$  bars (= twenty-four ‘ $3/4$ ’ bars).
- The pedals, the harmonic rhythm and the dissolution of the  $3/4$  metre all contribute to the elegiac tone.
- 63 Derrick Puffett, *Debussy’s Ostinato Machine*, Papers in Musicology, No. 4 (Nottingham: Nottingham University, 1996).
- 64 There is an obvious link with the *Lyric Suite* here. Could this work have a connection with Schnitzler that even George Perle was unaware of?
- 65 Carner, *Alban Berg*, p. 146.
- 66 Jarman, *The Music of Alban Berg*, p. 177.
- 67 For instance, of bar 91 he writes: ‘New section. March character resumed.’ DeVoto, ‘Marche macabre’, p. 399.
- 68 Stravinsky’s word for them, ‘protest’, is perfect and indicates non-resolution. See *Stravinsky in Conversation with Robert Craft* (Harmondsworth: Penguin, 1962), p. 87.
- 69 DeVoto, ‘Marche macabre’, p. 408.
- 70 Jarman, *The Music of Alban Berg*, pp. 37–46.
- 71 Perle, *Wozzeck*, p. 18. Perle’s reference to Ravel’s ‘valse macabre’ is unfortunate in that it sets off irrelevant echoes of Saint-Saëns.
- 72 The final expression of this world-view in Berg is the street-organ in Act III of

*Lulu* which grinds out its trivial melodies as Lulu plies her trade as a prostitute in London.

- 73 Though there must be an element of deliberate gigantification in it: cf. the Cyclops episode of Joyce's contemporaneous *Ulysses*.
- 74 *Stravinsky in Conversation*, p. 87.
- 75 John Adams in interview with Nick Kimberley, *Gramophone*, June 1996, p. 23.
- 76 Examples are bars 70–72, 76–7, 102–6 and most of 115–26. That some thinning-out occurred before the *Marsch* went into print is evidenced by two copies in the Pierpont Morgan Library, both of which have passages in an even thicker orchestration than that which Berg allowed to survive.
- 7 The musical language of *Wozzeck***
- 1 Schmalfeldt, *Berg's Wozzeck*.
- 2 George Perle, 'Representation and Symbol in the Music of *Wozzeck*', *Music Review*, 33 (1971), pp. 281–308. See also Perle, *Wozzeck*, chapter 4 (pp. 93–129).
- 3 Harold Bloom, *The Anxiety of Influence: A Theory of Poetry* (New York: Oxford University Press, 1973), pp. 13–16.
- 4 Bloom, *The Anxiety of Influence*, p. 16: 'the new poem's achievement makes it seem to us ... as though the later poet himself had written the precursor's most characteristic work' (something of Bloom's association of *apophrades* with a poet's final works is perhaps to be observed in the critical surprise and admiration that often ensues when a young-ish composer's *first* opera is judged successful). A number of authors have sought to apply Bloom's ideas directly to music, notably Kevin Korsyn, 'Towards a New Poetics of Musical Influence', *Music Analysis*, 10 (1991), pp. 3–72, and Joseph N. Straus, *Remaking the Past: Musical Modernism and the Influence of the Tonal Tradition* (Cambridge, MA: Harvard University Press, 1990).
- 5 For an English translation of Franzos's moving account of his struggles to decipher Büchner's work in the face of extraordinary practical difficulties and to present it faithfully despite the interference of Büchner's brother Ludwig, see Jarman, *Alban Berg: Wozzeck*, pp. 111–29.
- 6 See Jarman, *Alban Berg: Wozzeck*, p. 1.
- 7 Perle, *Wozzeck*, p. 38. A direct comparison between Berg's libretto and the Landau edition may be made in English translation, in *Wozzeck: Alban Berg* [Opera Guide 42, ed. N. John] (London: Calder, 1990), pp. 61–110.
- 8 Jarman, *Alban Berg: Wozzeck*, p. 156. A translation of Berg's lecture is given on pp. 154–70.
- 9 See pp. 44–5.
- 10 This table forms the basis of discussions in, for example, Reich, *Life and Work*, pp. 120–42 (Reich reports that Fritz Mahler's table 'was suggested by Berg himself'); Perle, *Wozzeck*, pp. 43–89 (bibliographical sources of the table are identified on p. 43); and Jarman, *Alban Berg: Wozzeck*, pp. 41–50.
- 11 Eng. trans. in Jarman, *Alban Berg: Wozzeck*, pp. 162–3.
- 12 'Diese erste Szene erhält dadurch ... auch musikalisch das ihr zukommende, ich möchte sagen, historische Kolorit'. Repr. in Redlich, *Alban Berg: Versuch einer Würdigung*, p. 316 (for the entire lecture see pp. 311–27).

- 13 Jarman, *Alban Berg: Wozzeck*, p. 43.
- 14 ‘... an das ich mich in diesem wahrhaft zeitlosen Drama natürlich sonst nicht hielt’. Redlich, *Alban Berg: Versuch einer Würdigung*, p. 316.
- 15 Emil Petschnig, ‘Creating Atonal Opera’, Eng. trans. in Jarman, *Alban Berg: Wozzeck*, pp. 143–9 (the quoted passage is on p. 144). Originally published in *Die Musik*, 16 (1924), pp. 340–45.
- 16 Repr. in Jarman, *Alban Berg: Wozzeck*, pp. 152–3. Originally published in *Modern Music*, November–December 1927.
- 17 Eng. trans. in Jarman, *Alban Berg: Wozzeck*, p. 158.
- 18 Berg, ‘The Musical Forms in my Opera *Wozzeck*’, Eng. trans. in Jarman, *Alban Berg: Wozzeck*, pp. 149–52 (the quoted passage is on p. 152). Originally published in *Die Musik*, 16 (1924), pp. 587–9.
- 19 Letter of 9 July 1913, Berg to Schoenberg (*The Berg–Schoenberg Correspondence*, p. 182).
- 20 See chapters 5 and 6.
- 21 See Mark DeVoto, ‘Alban Bergs *Drei Orchesterstücke* op. 6: Struktur, Thematik und ihr Verhältnis zu *Wozzeck*’, in Rudolf Klein (ed.), *Alban Berg Studien*, 2 (Vienna: Universal Edition, 1981), pp. 97–106.
- 22 Jarman, *The Music of Alban Berg*, pp. 7–8.
- 23 See Berg’s letter to Schoenberg, 24 June 1918 (*The Berg–Schoenberg Correspondence*, p. 268).
- 24 Perle, *Wozzeck*, p. 192 n. 23.
- 25 See pp. 169–70.
- 26 See Perle, *Wozzeck*, p. 123.
- 27 Bloom, *The Anxiety of Influence*, pp. 14–15.
- 28 For an account of the early stage history and reception of *Wozzeck*, see Jarman, *Alban Berg: Wozzeck*, pp. 69–78.
- 29 Adorno, *Alban Berg*, p. 10.
- 30 Eng. trans. in Jarman, *Alban Berg: Wozzeck*, p. 170.
- 31 See pp. 115–117.
- 32 Adorno, *Alban Berg*, p. 87.
- 33 Eng. trans. in Jarman, *Alban Berg: Wozzeck*, p. 155.
- 34 Jarman, *The Music of Alban Berg*, pp. 47–63.
- 35 *Ibid.*, p. 62.
- 36 *Ibid.*, p. 51.
- 37 Allen Forte, *The Structure of Atonal Music* (New Haven: Yale University Press, 1973), p. 17.
- 38 The aggregate of the cadential chords is (1, 2, 3, 5, 6, 7, 9, 11) in integer notation – belonging to Forte’s set-class 8–24. The comparable set-class (8–19) has the prime form (0, 1, 2, 4, 5, 6, 8, 9).
- 39 Eng. trans. in Jarman, *Alban Berg: Wozzeck*, p. 167. See Derrick Puffett’s analysis of this passage in ‘Berg and German Opera’, in Jarman (ed.), *The Berg Companion*, pp. 197–200.
- 40 Perle, *Wozzeck*, pp. 145–55. The quoted passage is from p. 145. Example 7.6 may be compared with Perle’s Examples 114 and 115 (p. 146).
- 41 Schmalfeldt, *Berg’s Wozzeck*, pp. 120–21, 206.
- 42 See p. 58.



- 43 Perle, *Wozzeck*, p. 139.
- 44 Eng. trans. in Jarman, *Alban Berg: Wozzeck*, p. 160.
- 45 Richard Cohn, 'Maximally Smooth Cycles, Hexatonic Systems, and the Analysis of Late-Romantic Triadic Progressions', *Music Analysis*, 15 (1996), pp. 9–40.
- 46 David Fanning has described how Berg explored in his sketches the similarity between the (unaltered) chord X and the opening chord of the D minor interlude, in 'Berg's Sketches for *Wozzeck*: A Commentary and Inventory', *Journal of the Royal Musical Association*, 112 (1987), pp. 284–5.
- 47 A detailed analysis of this scene may be found in Jarman, *Alban Berg: Wozzeck*, pp. 52–8.
- 48 See chapter 10.
- 49 Perle, *Wozzeck*, pp. 155–8; Jarman, *The Music of Alban Berg*, pp. 57–8, *Alban Berg: Wozzeck*, p. 46; Schmalfeldt, *Berg's Wozzeck*, pp. 48–59.
- 50 See chapter 8.

## 8 Secret programmes

- 1 *Neues Wiener Journal*, 31 August 1935; subsequently revised in *Anbruch*, XVIII/9 (September/October 1935), pp. 250–52 and *Schweizerische Musik Zeitschrift*, 75 (1935), pp. 735–7.
- 2 *Pult und Taktstock*, 2 (February/March 1925), pp. 23–8.
- 3 See Constantin Floros, 'Das esoterische Programm der Lyrischen Suite: Eine semantische Analyse', *Hamburg Jahrbuch für Musikwissenschaft*, Band I (Hamburg, 1975), pp. 101–45.
- 4 George Perle, 'The Secret Program of the Lyric Suite', *The International Alban Berg Society Newsletter*, 5 (June 1977), pp. 4–12; enlarged as 'The Secret Programme of the Lyric Suite', *The Musical Times*, 118 (1977), pp. 629–32, 709–13, 809–13.
- 5 Eng. trans. by Douglass M. Green, *The International Alban Berg Society Newsletter*, 5 (June 1977), pp. 13–23.
- 6 Eng. trans. by Cornelius Cardew, in Reich, *Life and Work*, pp. 143–8.
- 7 *Ibid.*, p. 148.
- 8 Berg's sketches show that the first four variations represent, respectively, Eduard Steuermann, Rudolf Kolisch, Josef Polnauer and Erwin Stein; the fifth represents 'the others who follow after, want to overtake etc.' See Brenda Dalen, 'Freundschaft, Liebe, und Welt: The Secret Programme of the Chamber Concerto', in Jarman (ed.), *The Berg Companion*, pp. 142–50.
- 9 Dalen, 'Freundschaft, Liebe, und Welt', pp. 160–71.
- 10 Thus the solo violin's pizzicato notes in bars 111–12, its only appearance in the first movement, are a reference to Kolisch's habit, when playing a concerto, of quietly testing his tuning in this way before his first entry; similarly, the piano figuration at bars 775–80 refers to F. H. Klein by quoting his 'Mother chord' (see chapter 10).
- 11 As, for example, the significance of one sketch which suggests that the three movements represent or are in some way associated with three places – Vienna, Trahütten and Baden.
- 12 Berg to Hanna Fuchs, 4 December, 1929, quoted in Floros, 'Alban Berg und Hanna Fuchs: die Geschichte einer unglücklichen Liebe und ihre Auswirkung-

- en auf Bergs Schaffen', *Österreichische Musik Zeitschrift*, 50 (1995), p. 790. See also pp. 216–17.
- 13 Reich, *Life and Work*, pp. 178–9.
  - 14 Douglas Jarman, 'Alban Berg, Wilhelm Fliess and the Secret Programme of the Violin Concerto', *The International Alban Berg Society Newsletter*, 12 (Fall/Winter 1982), pp. 5–11.
  - 15 Both Constantin Floros, in 'Die Skizzen zum Violinkonzert Alban Berg', *Alban Berg Studien*, 2 (Vienna: Universal Edition, 1981), pp. 118–35, and Anthony Pople, in *Berg: Violin Concerto*, have argued that the presence of the final phrase of 'Es ist Genug' on a sketch headed 'Akkorden und Cadenzen' (a sketch which includes the 'ritmico' material of Part I, bars 140ff.) indicates that Berg had, at an early stage, decided on using the Bach chorale. The 'Akkorden und Cadenzen' sketch, however, is part of a double page, the opposite page of which, linked to the 'Akkorden und Cadenzen' sketch by a series of arrows, shows Berg working out the harmonization of the chorale at Part II, bars 214ff.
  - 16 The relevant page is reproduced as Faksimile 4 of *Alban Berg: Sämtliche Werke*, 5/2 (Vienna: Universal Edition, 1996).
  - 17 Floros ('Die Skizzen zum Violinkonzert Alban Berg', p. 119) misreads the word 'Fromm' as 'Traum' and consequently ignores the FFFF annotation and its significance. This reading is followed by Pople in *Berg: Violin Concerto*, p. 30. I am grateful to Regina Busch for her help in freshly deciphering Berg's sketch.
  - 18 Adorno, *Alban Berg*, p. 11.
  - 19 Perle, *Lulu*, pp. 284–9.
  - 20 *Ibid.*, p. 286.
  - 21 See Jarman, *The Music of Alban Berg*, pp. 230–41.
  - 22 See Reich, *Life and Work*, p. 286.
  - 23 See, for example, Walter B. Bailey, *Programmatic Elements in the Works of Arnold Schoenberg* (Ann Arbor: UMI Research Press, 1984) and Hans Moldenhauer, *Anton Webern: A Chronicle of his Life and Work* (London: Gollancz, 1978).
  - 24 Bailey, *Programmatic Elements*, p. 98.
  - 25 This, of course, does not preclude the possibility that more general extra-musical 'inspirational forces' lie behind some of the earlier, pre-*Wozzeck* pieces. Constantin Floros, for example, has suggested in *Alban Berg*, pp. 153–64, that the String Quartet Op. 3 has a programme concerning Berg's love for Helene (see chapter 4). As presented by Floros, however, the proposed 'programme' of Op. 3 is so generalised as to be essentially different in both nature and function from the programmes of the post-*Wozzeck* works.
  - 26 See pp. 148–50.
  - 27 Christopher Hailey, 'Between Instinct and Reflection: Berg and the Viennese Dichotomy', in Jarman (ed.), *The Berg Companion*, p. 230.
  - 28 Jarman, *The Music of Alban Berg*, p. 230.
  - 29 See Berg, 'A Word about *Wozzeck*', in Jarman, *Alban Berg: Wozzeck*, p. 153.
  - 30 Mark DeVoto, quoted in Perle, *Style and Idea in the Lyric Suite of Alban Berg* (Stuyvesant: Pendragon, 1995), p. 50.
  - 31 Adorno to Helene Berg, 16 April 1936, in Hilmar and Brosche (eds.), *Alban Berg 1885–1935*. See also pp. 21–2.

- 32 *The Times Literary Supplement*, 30 April 1982, p. 475.
- 33 Perle, 'The Secret Programme of the Lyric Suite', pp. 811–12.
- 34 Floros, 'Alban Berg und Hanna Fuchs', p. 781.
- 35 See, for example, Berg to Schoenberg, 10 June 1915: 'I received your first telegram ... on 4.6! [4 June] ( $46 = 2 \times 23$ ) The telegram bore the number Berlin-Südende 46 ( $= 2 \times 23$ ) 12/11 ( $12+11 = 23$ ). The 2nd telegram bore the number 24/23 and was sent off at 11:50 ( $1150 = 50 \times 23$ ).' (*The Berg–Schoenberg Correspondence*, p. 245.)
- 36 Jarman, *The Music of Alban Berg*, pp. 223–41. For another perspective on this aspect of Berg's thought see pp. 48–9.
- 37 Perle, 'The Secret Programme of the Lyric Suite', p. 812.
- 38 *Briefe an seine Frau*, p. 376; *Letters to his Wife*, p. 229.
- 39 Erich Alban Berg, 'Eine natürliche Tochter: zur Biographie Alban Bergs', *Frankfurter Allgemeine Zeitung*, 21 May 1975.
- 40 Geoffrey Poole, 'Berg's Fateful Number', *Tempo*, 179 (December 1991), p. 2.
- 41 Paul Kammerer, quoted in Arthur Koestler, *The Case of the Midwife Toad* (London: Pan, 1971), p. 141.

## 9 Stages of compositional process in *Wozzeck* and *Lulu*

- 1 For an English translation of Berg's lecture see Jarman, *Alban Berg: Wozzeck*, pp. 154–70.
- 2 See Willi Reich, 'Alban Berg's *Lulu*', trans. M. D. Herter Norton, *Musical Quarterly*, 22 (1936), pp. 383–401, and *Life and Work*, pp. 156–77. These accounts were based on discussions between Reich and Berg that took place in 1934; the music examples stem principally from Berg himself.
- 3 This chapter is part of an ongoing study of the sketches for *Wozzeck* held in the Österreichische Nationalbibliothek. An earlier version of it was read as a paper at the West Coast Conference of Music Theory and Analysis held at the University of British Columbia, Vancouver. I would like to thank my audience for their thoughtful comments, many of which I have incorporated.
- 4 In the production Berg saw, and in the edition stemming from Paul Landau's critical edition from which he developed his libretto, the play was entitled *Wozzeck*; subsequently, Büchner scholars have preferred to read the spelling *Woyzeck* from the playwright's almost illegible handwriting. See Perle, *Wozzeck*, pp. 25–37.
- 5 For an English translation of Kraus's lecture see Jarman, *Alban Berg: Lulu*, pp. 102–12. Bryan R. Simms has identified additional likely sources of ideas on role doubling and formal structure in Wedekind's tragedies ('Berg's *Lulu* and the theatre of the 1920s', *Cambridge Opera Journal*, 6 (1994), pp. 147–58); nonetheless, the enormous and sustained influence of Kraus on Berg's cultural outlook in general and his interpretation of these plays in particular is well attested (see chapter 2).
- 6 ÖNB, Musiksammlung, F 21 Berg 13/vii fol. 6v.
- 7 See chapter 11; also Volker Scherliess, 'Alban Bergs analytische Tafeln zur *Lulu*-Reihe', *Die Musikforschung*, 30 (1977), pp. 452–64, and Patricia Hall, 'The Progress of a Method: Berg's Tone Rows for *Lulu*', *The Musical Quarterly*, 71 (1985), pp. 500–519.

- 8 See Thomas F. Ertelt, “Hereinspaziert ...” Ein früher Entwurf des Prologs zu Alban Bergs *Lulu*, *Österreichische Musik Zeitschrift*, 41 (1986), pp. 15–25, and Douglass M. Green, ‘A False Start for *Lulu*: An Early Version of the Prologue’, in Gable and Morgan (eds.), *Alban Berg*, pp. 203–13.
  - 9 See pp. 158–62. For an English translation of Berg’s comments see Jarman, *Alban Berg: Wozzeck*, p. 160.
  - 10 In his article ‘Berg’s Sketches for *Wozzeck*: A Commentary and Inventory’, *Journal of the Royal Musical Association*, 112 (1987), pp. 280–322, David Fanning misreads ‘unresolved’ (‘unaufgelöste’) as ‘superimposed’.
  - 11 See Jarman, *Alban Berg: Wozzeck*, pp. 29–30, 38 and 53; also Perle, *Wozzeck*, pp. 105–6 and 135–40.
  - 12 See the upper margin of the sketch for Act II scene 1, bar 242 (ÖNB, Musiksammlung, F 21 Berg 29/i).
  - 13 See pp. 212–13; also Hall, ‘The Sketches for *Lulu*’, in Jarman (ed.), *The Berg Companion*, pp. 235–59.
  - 14 ÖNB, Musiksammlung, F 21 Berg 15/i.
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- 10 **Compositional technique 1923–6: the Chamber Concerto and the *Lyric Suite***
    - 1 Berg, letter to Webern, 12 October 1925, quoted in Jarman, *The Music of Alban Berg*, p. 9. Berg first set this poem to music in 1907 (see Reich, *Life and Work*, p. 109; also Hilmar, *Katalog*, pp. 45, 47; and Floros, *Alban Berg*, pp. 227–9).
    - 2 Berg, open letter to Schoenberg, Eng. trans. by Cornelius Cardew in Reich, *Life and Work*, pp. 143–8 (p. 147); first published as ‘Alban Bergs Kammerkonzert für Geige und Klavier mit Begleitung von dreizehn Bläsern’, *Pult und Taktstock*, 2/ii–iii (1925), pp. 23–8. ‘Nine Pages on the *Lyric Suite*’, in Ursula von Rauchhaupt (ed.), *Schoenberg–Berg–Webern: The String Quartets, a Documentary Study*, translations by Eugene Hartzell (Hamburg: Deutsche Grammophon Gesellschaft, 1971), pp. 102–13 (p. 102); a revised and more complete German edition is given in Berg, *Glaube, Hoffnung und Liebe*, ed. Frank Schneider, Reclams Universal-Bibliothek, 899 (Leipzig: Reclam, 1981), pp. 236–53 (‘Neun Blätter zur “Lyrischen Suite für Streichquartett”’).
    - 3 Jarman, *The Music of Alban Berg*, p. 81.
    - 4 Arved Ashby, ‘Of *Modell-Typen* and *Reihenformen*: Berg, Schoenberg, F. H. Klein, and the Concept of Row Derivation’, *Journal of the American Musicological Society*, 48 (1995), pp. 67–105 (p. 72).
    - 5 Published by the composer. Ashby surmises that Berg’s copy (Vienna, Österreichische Nationalbibliothek) ‘is perhaps the last extant’; on the history of the work’s publication, see Ashby, ‘Of *Modell-Typen*’, pp. 74–5.
    - 6 *Ibid.*, p. 83. See Jarman, *The Music of Alban Berg*, pp. 82–3, 129.
    - 7 Examples 10.1a–c have been transcribed from the facsimiles reproduced in *The Berg–Schoenberg Correspondence*, p. 349.
    - 8 Fritz Heinrich Klein, preface to *Variationen* for piano, Op. 14 (1924), Fig. 22; quoted in Ashby, ‘Of *Modell-Typen*’, p. 86.
    - 9 Ashby, ‘Of *Modell-Typen*’, p. 90. Likewise, both Berg and Klein believed Klein’s all-interval row to be the only such row (*ibid.*, pp. 88–9). Several comprehensive accounts of all-interval rows and their properties appeared during the 1960s and 1970s. See Hanns Jelinek, ‘Die krebgleichen Allintervallreihen’,

- Archiv für Musikwissenschaft*, 18 (1961), pp. 115–25; Herbert Eimert, *Grundlagen der musikalischen Reihentechnik* (Vienna: Universal Edition, 1964), pp. 39–86; Stefan Bauer-Mengelberg and Melvin Ferentz, ‘On Eleven-Interval Twelve-Tone Rows’, *Perspectives of New Music*, 3 (1965), pp. 93–103; and Robert Morris and Daniel Starr, ‘The Structure of All-Interval Series’, *Journal of Music Theory*, 18 (1974), pp. 364–89.
- 10 Perle, *Lulu*, p. 7. For a harmonic analysis of this song, see Craig Ayrey, ‘Tonality and the Series: Berg’, in J. Dunsby (ed.), *Models of Musical Analysis: Early Twentieth-Century Music* (Oxford: Blackwell, 1993), pp. 81–113.
  - 11 Ashby, ‘Of *Modell-Typen*’, p. 90, p. 86 (Klein, Fig. 22) and p. 93 (transcription of Berg’s sketch, Fig. 8). The sketch is held in Vienna, ÖNB, Musiksammlung, F 21 Berg 116, fol. 1. See also Joan Allen Smith, ‘Some Sources for Berg’s “Schliesse mir die Augen beide” II’, *International Alban Berg Society Newsletter*, 6 (1978), pp. 9–13.
  - 12 Ashby, ‘Of *Modell-Typen*’, pp. 92, 94–5; F 21 Berg 76/V, fol. 11. A second sketch contains a plan for the work showing the introduction of Klein’s second form in the third movement (Ashby, ‘Of *Modell-Typen*’, p. 96; F 21 Berg 76/V, fol. 8).
  - 13 Reported in Walter Szmolyan, *J. M. Hauer* [Österreichische Komponisten des XX. Jahrhunderts, 6] (Vienna: Lafite, 1965), p. 49. Cf. Felix Greissle: ‘he said, you know, he and Hauer had found from another side almost the same thing’, interview transcribed in Joan Allen Smith, *Schoenberg and His Circle: A Viennese Portrait* (New York: Schirmer, 1986), p. 203.
  - 14 The phrase is Ashby’s (‘Of *Modell-Typen*’, p. 103).
  - 15 See Josef Matthias Hauer, *Zwölftontechnik. Die Lehre von den Tropen* [Theoretische Schriften, 2] (Vienna: Universal Edition, 1926), pp. 10–18. An example of the second canonic technique is given in the present chapter (Example 10.3).
  - 16 Martina Sichardt, *Die Entstehung der Zwölftonmethode Arnold Schönbergs* (Mainz: Schott, 1990), pp. 55–74 (esp. pp. 72–4). See also Rudolf Stephan, ‘Zur Entstehung der Zwölftonmusik’, in Günter Schnitzler (ed.), *Musik und Zahl. Interdisziplinäre Beiträge zum Grenzbereich zwischen Musik und Mathematik* (Bonn: Verlag für systematische Musikwissenschaft, 1976), pp. 159–70.
  - 17 For more on the dating of the composition of Schoenberg’s variation movement see Sichardt, *Die Entstehung der Zwölftonmethode Arnold Schönbergs*, p. 56. An analysis by Berg of the third movement of Schoenberg’s *Serenade* is located amongst the sketch material of the Chamber Concerto (see Hilmar, *Katalog*, pp. 55, 102; two pages from this analysis are reproduced in facsimile on pp. 184–5); cf. Ashby, ‘Of *Modell-Typen*’, p. 70 n. 12.
  - 18 These are the dates given in Szmolyan’s work list (*J. M. Hauer*, p. 71); Stephan gives 1922 in ‘Über Josef Matthias Hauer’, *Archiv für Musikwissenschaft*, 18 (1961), pp. 265–93 (p. 290). Like Berg’s Chamber Concerto, Hauer’s *Etüden* are dedicated to Schoenberg on the occasion of his fiftieth birthday.
  - 19 Jarman, *The Music of Alban Berg*, pp. 83–4. Example 10.1c in the present chapter corresponds to the first of these sets; the second is produced by placing the partial rows outlined by Berg (Example 10.1b) successively within each hexachord so as to produce the complete cycle of fifths when read from left to right (the retrograde of this set is played *pizzicato* by the cello in bars 8–9).

- Ashby is admittedly cautious in ascribing the authorship of these derivations to Klein: ‘Berg’s ... use of the circle-of-fifths row in the Allegretto gioiale of the *Lyric Suite* does not necessarily show that he did any more than adopt Klein’s all-interval row and two derivations therefrom ... It would not have taken Berg long to notice the circle of fifths in the row, given what George Perle has called his “characteristic preoccupation with interval cycles” discernible as early as the op. 2 songs’ (‘Of *Modell-Typen*’, p. 85; Perle, ‘Berg’s Master Array’).
- 20 Egon Wellesz, *The Origins of Schönberg’s Twelve-Tone System: A Lecture [...] January 10, 1957* (Washington: The Louis Charles Elson Memorial Fund, 1958), pp. 7–8.
  - 21 Regina Busch notes that Berg knew the term *Baustein* as one that stemmed from Hauer (‘Einige Bemerkungen zur Zwölftonkomposition bei Schönberg, Berg und Webern’, in Rudolf Stephan, Sigrid Wiesmann and Matthias Schmidt (eds.), *Arnold Schönberg: Neuerer der Musik. 3. Internationale Schönberg Kongreß. Duisburg 1993* (Vienna: Lafite, 1997), pp. 114ff.). See also Sichardt, *Die Entstehung der Zwölftonmethode Arnold Schönbergs*, pp. 72–3. I am grateful to Regina Busch for supplying me with a typescript of her paper.
  - 22 Hauer, *Die Lehre von den Tropen*, pp. 13–14; Berg, p. 4 of the ‘Nine Pages’.
  - 23 The entire example is reproduced in Szmolyan, *J. M. Hauer*, p. 61.
  - 24 Schoenberg, *Theory of Harmony*, trans. Roy E. Carter (London: Faber, 1978), p. 433. Schoenberg’s remark appears in a footnote to the revised edition of 1922, for which Berg prepared the index. Berg comments on the new additional material in a letter to Schoenberg of 12 June 1922 (*The Berg–Schoenberg Correspondence*, pp. 314–16).
  - 25 Busch, ‘Einige Bemerkungen zur Zwölftonkomposition’.
  - 26 Compare Christian Baier, ‘Fritz Heinrich Klein: Der “Mutterakkord” im Werk Alban Bergs’, *Österreichische Musikzeitschrift*, 44 (1989), pp. 585–600 (p. 585); Hilmar, *Alban Berg*, p. 147; Erich Alban Berg, *Der unverbesserliche Romantiker*, pp. 96, 165; Ashby, ‘Of *Modell-Typen*’, p. 72; *The Berg–Schoenberg Correspondence*, p. 317 n. 1; Smith, *Schoenberg and His Circle*, p. 277; Dave Headlam, ‘Fritz Heinrich Klein’s “Die Grenze der Halbtonwelt” and *Die Maschine*’, *Theoria*, 6 (1992), pp. 55–96 (p. 57). The dates vary from some time after 1917 to 1921 (the date of 1921 is given in *The Berg–Schoenberg Correspondence*); Klein’s own account reproduced in Erich Alban Berg’s book (though this is not the only account by Klein) states that after having attended Schoenberg’s composition seminar at the Schwarzwald School (in 1917–18, according to Baier) he went to study with Berg, but leaves open the time that had elapsed between the two events.
  - 27 Compare Erich Alban Berg, *Der unverbesserliche Romantiker*, pp. 96–7; Hilmar and Brosche (eds.), *Alban Berg 1885–1935*, pp. 163–4 (No. 391: letter from Klein to Berg, March 1922); Ashby, ‘Of *Modell-Typen*’, p. 87; Baier, ‘Fritz Heinrich Klein’, p. 589. The dates given are 1920, 1922, 1922 and 1923, respectively. Note that the twelve-note, all-interval chord given by Klein in the letter to Berg of March 1922 is not the same as either of the two forms of the *Mutterakkord* in the Preface to the *Variationen* (Fig. 23; Ashby, ‘Of *Modell-Typen*’,

- p. 86), the first of which appears earlier in the piano version of *Die Maschine* (facsimile reproduced in Headlam, 'Fritz Heinrich Klein's "Die Grenze der Halbtonwelt" and *Die Maschine*', p. 68). *Die Maschine* is also discussed at some length by Hans Oesch, 'Pioniere der Zwölftontechnik', in *Basler Studien zur Musikgeschichte* [Forum Musicologicum, 1] (Bern: Francke, 1975), pp. 273–304). Note also that in a letter written to Berg in March 1922, Klein says he arrived at this, 'the first' twelve-note, all-interval chord, through permuting the *Mutterakkord* (Hilmar and Brosche (eds.), *Alban Berg 1885–1935*, p. 163; ÖNB, Musiksammlung, F 21 Berg 935/I [1 Doppelbl.]). This is obscured in Ashby's translation: 'I admit this chord originated as a sudden idea; but it is scientifically incontestable that in the course of the permutation of the interval figures of the chord ['des Mutterakkordes'], it *must* eventually appear at some time!' (Ashby, 'Of *Modell-Typen*', p. 87 (for orig. text see p. 87 n. 41); letter from Klein to Berg, 28 March 1922, F 21 Berg 935/I, fol. 2).
- 28 The process of placing intervals in reversed order, one by one, by which Klein demonstrates the derivation of the second form of his all-interval row (Fig. 22, quoted in Ashby, 'Of *Modell-Typen*', p. 86) is essentially the same as that used by Berg in the first of the Four Songs Op. 2. For a diagrammatic representation of the retrograde structure of this song, see Robert P. Morgan, 'The Eternal Return: Retrograde and Circular Form in Berg', in Gable and Morgan (eds.), *Alban Berg*, pp. 111–49 (Example 3, p. 134). Baier details the arrangements between Berg and Klein concerning the acknowledgement of the use of Klein's row in the scores of the Chamber Concerto (the row appears in the piano, bars 775–80), 'Schliesse mir' II and the *Lyric Suite*; only the acknowledgement for 'Schliesse mir' II was published with the score ('Fritz Heinrich Klein', pp. 593, 595, 597).
- 29 An 'incorrigible Romantic' in his own words, as handed down by his nephew, Erich Alban Berg (*Der unverbesserliche Romantiker*, pp. 7–8).
- 30 See Jarman, *The Music of Alban Berg*, pp. 224–5; Busch, 'Einige Bemerkungen zur Zwölftonkomposition'.
- 31 ÖNB, Musiksammlung, F 21 Berg. Most of the letters from Berg to Klein have been destroyed (Ashby, 'Of *Modell-Typen*', p. 74 n. 24).
- 32 Jarman, *The Music of Alban Berg*, p. 79. In considering whether characteristics of Berg's twelve-note music might be seen in a latent form in his earlier music, Busch suggests a revision of Jarman's notion of 'codification' inasmuch as it implies a general subordination of harmonic phenomena to motivic-thematic ones, and cites cases in both the atonal and twelve-note music where it is perhaps not possible to decide what is the primary determinant of the music – at least it is not obvious that the motivic considerations or the ordered row are primary ('Einige Bemerkungen zur Zwölftonkomposition'). Compare also Adorno's comments on Berg's thematic *Leitharmonien* in his essay 'Bergs kompositionstechnische Funde', *Quasi una Fantasia* (Frankfurt: Suhrkamp, 1963), pp. 257–9; Eng. trans. by Rodney Livingstone (London: Verso, 1992). Ann Shreffler brings an alternative historical model, proposed by the art historian James Ackerman, to bear on the evolution of Webern's twelve-note composition: 'evolution in the arts should not be described as a succession of steps

- toward a solution to a given problem, but as a succession of steps away from one or more original statements of a problem' (“‘Mein Weg geht jetzt vorüber”): The Vocal Origins of Webern’s Twelve-Tone Composition’, *Journal of the American Musicological Society*, 47 (1994), pp. 275–339 (pp. 279–80)).
- 33 See chapters 5 and 6; also Ernst Křenek, ‘Fünf Orchesterlieder nach Ansichtskartentexten von Peter Altenberg op. 4’, in Reich, *Alban Berg*, pp. 43–7; Jarman, *The Music of Alban Berg*, pp. 34–46; and Mark DeVoto, ‘Some Notes on the Unknown *Altenberg Lieder*’, *Perspectives of New Music*, 5 (1966), pp. 37–74. One aspect of Klein’s methods that is striking in relation to the derivation of rows in *Lulu*, but receives no comment from Ashby, is the phrase he uses to describe the derivation of the fourths- and fifths-form: ‘connecting every second note produces perfect fourths or fifths’ (Ashby, ‘Of *Modell-Typen*’, pp. 82–3; ‘jeder zweite Ton miteinander verbunden, ergibt reine Quarten oder Quinten’). Although Klein’s emphasis seems to be more on the interval cycles than on the numerical principle, this description may be compared, in particular, with Berg’s derivation of the Acrobat’s series in *Lulu* (see chapter 11).
- 34 Erwin Stein, *Orpheus in New Guises* (London: Rockliff, 1953), p. 7; Jarman, *The Music of Alban Berg*, p. 45.
- 35 See, however, Derrick Puffett’s comments on p. 121. [Ed.]
- 36 See Perle, ‘Berg’s Master Array’.
- 37 Jarman, *The Music of Alban Berg*, p. 126.
- 38 The material on splitting in the *Lyric Suite* presented here draws on Jarman’s work on the derivation of subsidiary sets (*ibid.*, pp. 126–30).
- 39 *Ibid.*, p. 129 (Ex. 162).
- 40 The use of these rhythms in the third movement is analysed by Jarman, *The Music of Alban Berg*, pp. 156–8; and Douglass M. Green, ‘The Allegro misterioso of Berg’s *Lyric Suite*: Iso- and Retro-rhythms’, *Journal of the American Musicological Society*, 30 (1977), pp. 507–16.
- 41 Example 10.5a and the other examples from the ‘Nine Pages’ in this chapter have been transcribed from the facsimiles reproduced in Willi Reich, *Alban Berg: Bildnis im Wort* (Zürich: Die Arche, 1959), pp. 45–54.
- 42 Jarman, *The Music of Alban Berg*, pp. 127–8 (Ex. 160); and Perle, *Serial Composition and Atonality*, 5th edn (Berkeley: University of California Press, 1981), pp. 72–4 (Ex. 104).
- 43 Reich’s transcription of the ‘Nine Pages’ in *Alban Berg: Bildnis im Wort* omits the parenthetical note beneath the example (see facsimile, p. 53); Schneider transcribes this only partially and erroneously in his edition of Berg, *Glaube, Hoffnung und Liebe*, p. 244. The best version is to be found in the marginalia of Redlich’s copy of Reich’s book (Lancaster, University Library, Redlich Collection): ‘(NB Similarities between the tail-ends of the half-series and the beginnings of the rows exploited. Particularly at the conclusion at the entries of the first four forms!)’; ‘(NB Ähnlichkeiten der Ausläufer der Halbreihen und Anfänge der Reihen ausgenützt. Besonders am Schluß bei den [Einsätzen] der 4 ersten Formen!)’. The detail to which this comment refers is omitted in Example 10.6a, but is visible, albeit indistinctly, in the facsimile in Reich, *Alban Berg: Bildnis im Wort*, and is included in Schneider’s transcription. In an autograph score of the *Lyric Suite* in which the last movement is inscribed with the



- text of Baudelaire's 'De profundis clamavi', pencilled arrows indicate the course of the first row through the parts of the two violins at bar 30 (ÖNB, Musiksammlung, F 21 Berg 23/I; facsimile reproduced in Hilmar and Brosche (eds.), *Alban Berg 1885–1935*, p. 87).
- 44 Similar examples are to be found in bars 138–40, 145–7, 281 and 663–5. The material at bars 663–5 (third movement) represents the reprise of the material at bars 145–7 (first movement).
- 45 This correspondence and others like it reflect the overall design of the Chamber Concerto, whereby the third movement inventively re-uses the materials of the first and second movements in orderly combination, effecting this not only by means of free composition but also through techniques such as splitting (see pp. 208–9). [Ed.]
- 46 See chapter 5 for an extended discussion of 'wedging' in Berg's Opp. 4 and 5.
- 47 Jarman, *The Music of Alban Berg*, pp. 118–24, 130. See also Rudolf Stephan, 'Drei Autographe von Alban Berg', in Hans Jörg Jans, Felix Meyer and Ingrid Westen (eds.), *Komponisten des 20. Jahrhunderts in der Paul Sacher Stiftung* (Basle: Paul Sacher Stiftung, 1986), pp. 148–56 (facsimiles of the three pages of analytical notes Berg prepared for Reich after completing the opera are reproduced (pp. 152–4); the derivation of the 'Schigolch-Chromatik' (Schigolch's 'serial trope') from the basic row is shown at the top of the first page (p. 152)); and Thomas F. Ertelt, *Alban Bergs 'Lulu': Quellenstudien und Beiträge zur Analyse [Alban Berg Studien, 3]* (Vienna: Universal Edition, 1993), pp. 69–74.
- 48 Jarman, *The Music of Alban Berg*, p. 92 (Ex. 115), p. 128 (Ex. 160).
- 49 Ashby, 'Of Modell-Typen', p. 72 (emphasis added).
- 50 See Jarman, *The Music of Alban Berg*, pp. 73–4.
- 51 *Ibid.*, pp. 73–9; and Philip Lambert, 'Berg's Path to Twelve-Note Composition: Aggregate Construction and Association in the Chamber Concerto', *Music Analysis*, 12 (1993), pp. 321–42. See also pp. 168–9.
- 52 A different analysis of these two melodies is offered by Lambert; it is, nevertheless, one that aims to show their common segmental content ('Berg's Path to Twelve-Note Composition', pp. 324–6).
- 53 The *Hauptrhythmus* is first stated at bar 297 by the contrabassoon and trombone.
- 54 Adorno termed this gradual unfolding 'Kapuzinern', referring to a children's game of cloaking and revealing 'in which the word "Kapuziner" is disassembled and put back together again: Kapuziner – Apuziner – Puziner – Uziner – [...] – Er – R – Er – [...] – Puziner – Apuziner – Kapuziner' (*Alban Berg*, pp. 3–4, 95). See also Busch, 'Einige Bemerkungen zur Zwölftonkomposition'.
- 55 Adorno, 'Bergs kompositionstechnische Funde', p. 271.
- 56 *Ibid.*, pp. 263–7.
- 57 Anton Webern, *Der Weg zur Neuen Musik*, ed. Willi Reich (Vienna: Universal Edition, 1960), p. 18 (7 March 1933); Eng. trans. by Cornelius Cardew as *The Path to the New Music* (Bryn Mawr, PA: Presser, 1963). The emphasis on the techniques of association and splitting call to mind Rudolf Stephan's summing up of the twelve-note features in *Lulu*: 'the twelve-note aspect is hardly of interest to the opera's listeners, especially as musically speaking it is scarcely anywhere of less significance than in this work' ('der Zwölftonaspekt ist für die

Hörer der Oper kaum von Interesse, zumal er musikalisch kaum irgendwo weniger bedeutet als in diesem Werk'), quoted in Volker Scherliess, 'Alban Bergs analytische Tafeln zur Lulu-Reihe', *Die Musikforschung*, 30 (1977), pp. 452–64 (p. 452).

## 11 In the orbit of *Lulu*

- 1 The canon is based on a theme from Schoenberg's comic opera *Von heute auf morgen*. See Craig Ayrey, 'Introduction: Different Trains', in C. Ayrey and M. Everist (eds.), *Analytical Strategies and Musical Interpretation* (Cambridge: Cambridge University Press, 1996), pp. 26–31.
- 2 See Thomas F. Ertelt, *Alban Bergs 'Lulu': Quellenstudien und Beiträge zur Analyse* [*Alban Berg Studien*, 3] (Vienna: Universal Edition, 1993), p. 26.
- 3 Rosemary Hilmar, *Katalog der Schriftstücke von der Hand Alban Bergs, der Fremdschriftlichen und gedruckten Dokumente zur Lebensgeschichte und zu seinem Werk* [*Alban Berg Studien*, 1/2] (Vienna: Universal Edition, 1985), p. 22.
- 4 Ertelt, *Alban Bergs 'Lulu'*, pp. 27–9.
- 5 Friedrich Cerha, *Arbeitsbericht zur Herstellung des 3. Akts der Oper 'Lulu' von Alban Berg* (Vienna: Universal Edition, 1979), p. 7.
- 6 See p. 44.
- 7 Adorno, *Alban Berg*, pp. 26–7.
- 8 Alma Mahler Werfel, *And the Bridge is Love*, trans. E. B. Ashton (London: Hutchinson, 1959), p. 174.
- 9 Letter to Schoenberg, 30 March 1928 (*The Berg–Schoenberg Correspondence*, p. 366).
- 10 Ertelt, *Alban Bergs 'Lulu'*, pp. 11–24.
- 11 *Ibid.*, pp. 21–3.
- 12 See chapter 10.
- 13 Ertelt, *Alban Bergs 'Lulu'*, pp. 39–40.
- 14 This has been pointed out, for example, by Dave Headlam in 'The Derivation of Rows in *Lulu*', *Perspectives of New Music*, 24/i (1985), p. 212.
- 15 This is one reason – another, very clearly, being Friedrich Cerha's musicianship and scholarly integrity – why we can be confident that there is an overwhelming degree of authority in the published Act III of *Lulu*.
- 16 See Perle, *Lulu*, p. 14.
- 17 See Jarman, *The Music of Alban Berg*, pp. 144–5.
- 18 See pp. 200–201.
- 19 Philip Lambert, 'Berg's Path to Twelve-Note Composition: Aggregate Construction and Association in the Chamber Concerto', *Music Analysis*, 12 (1993), pp. 321–42.
- 20 See pp. 169–70.
- 21 See chapter 10.
- 22 For an English translation of Berg's tabular presentation of the form of the Chamber Concerto see Redlich, *Alban Berg: The Man and His Music*, pp. 124–5.
- 23 Boulez, prefatory note to the study score (UE 12419). It is interesting to note that Berg's 'strictness' in the Chamber Concerto is not dissimilar to Boulez's

- own technique in *Le marteau sans maître*, another work in which an elaborately layered pre-compositional plan was executed in a way that allowed for freedom at the musical surface. See Lev Koblyakov, *Pierre Boulez: A World of Harmony* (Chur: Harwood, 1990).
- 24 See pp. 169, 195–6.
  - 25 See Volker Scherliess, ‘Alban Bergs analytische Tafeln zur *Lulu*-Reihe’, *Die Musikforschung*, 30 (1977), pp. 452–64.
  - 26 Ertelt, ‘“Hereinspaziert ...”: Ein früher Entwurf des Prologs zu Alban Bergs *Lulu*’, *Österreichische Musik Zeitschrift*, 41 (1986), pp. 15–25; Douglass M. Green, ‘A False Start for *Lulu*: An Early Version of the Prologue’, in Gable and Morgan (eds.), *Alban Berg*, pp. 203–13; see also pp. 183–4. Almost all of the musical ideas in this sketch were eventually discarded when a new Prologue was written after the rest of the opera had been completed.
  - 27 Six of the seven songs that Berg chose had also found their way into an earlier, unpublished collection of ‘Ten Songs from the Year 1907’ [sic] which he made for Helene in 1917. The exception is ‘Traumgekrönt’, the text of which he quoted to Helene in a letter during their courtship (17 August 1907: *Letters to his Wife*, p. 26). The manuscripts of the seven songs are missing from the (second) volume of early songs, entitled ‘Alte Lieder’, which according to Rosemary Hilmar (*Katalog der Musikhandschriften*, pp. 44–5) Berg had bound in the 1920s. Since Berg wrote to Schoenberg on 30 May 1926 that with the money from the *Wozzeck* royalties he and Helene ‘have had all our unbound scores and books bound’ (*The Berg–Schoenberg Correspondence*, p. 347) it could be that he had made his selection for the *Seven Early Songs* project by this time.
  - 28 Letter to Schoenberg (27 June 1926), cited in Ursula von Rauchhaupt, *Schoenberg, Berg, Webern, die Streichquartette: eine Dokumentation* (Hamburg: Deutsche Grammophon, 1971), p. 92.
  - 29 See Perle, *Lulu*, pp. 68–77.
  - 30 See Ertelt, *Alban Bergs ‘Lulu’*, pp. 49–80.
  - 31 See Hall, ‘The Sketches for *Lulu*’, in Jarman (ed.), *The Berg Companion*, pp. 248–53; Pople, ‘Secret Programmes: Themes and Techniques in Recent Berg Scholarship’, *Music Analysis*, 12 (1993), pp. 384–7.
  - 32 Berg had abandoned the early Prologue sketch without completing it, though he had planned how it would end and the first scene of the opera itself begin (see Greene, ‘A False Start’, pp. 212–13). It is not clear whether or not the figure of ‘over 300 bars’ which he reported to Schoenberg in a letter of 1 September 1928 (*The Berg–Schoenberg Correspondence*, p. 373) makes an allowance for the Prologue; assuming it does not, then the first scene and orchestral interlude of the opera together comprise 329 bars (I/86–414) after which there is a musical hiatus, making it seem reasonably likely that this was the extent of Berg’s work on the opera during 1928.
  - 33 Letters to Schoenberg, 17 January and 7 May 1929 (*The Berg–Schoenberg Correspondence*, pp. 382, 387).
  - 34 *The Berg–Schoenberg Correspondence*, p. 365 n. 3. Berg’s fee for *Der Wein* was 5,000 schillings.

- 35 Mosco Carner, *Alban Berg*, 2nd edn (London: Duckworth, 1983), p. 110.
- 36 It should perhaps be underlined that although the musical substance of the early part of *Lulu* precedes *Der Wein*, its orchestral realisation does not.
- 37 Patricia Hall's studies of this aspect through the *Lulu* sketches confirm that he had given early consideration to this ('Role and Form in Berg's Sketches for *Lulu*', in Gable and Morgan (eds.), *Alban Berg*, pp. 235–59).
- 38 See p. 168.
- 39 Letter of 4 December 1929 to Hanna Fuchs-Robettin, quoted in Perle, *Lulu*, p. 139. See also p. 170. The low D $\flat$  that Berg places under the H–F triads at the centre of *Der Wein* constitutes an intriguing link to the tolling bass C $\sharp$ s at the centre of the Adagio of the Chamber Concerto, and to *Lulu*, bars III/1006–7 (the pause for breath before *Lulu* defies Alwa and Geschwitz to return to the streets alone).
- 40 Adorno, *Alban Berg*, pp. 117–18, 119–20.
- 41 Carner, *Alban Berg*, pp. 108, 110. The anecdote about Berg's 'apologetic expression' stems from the publisher Hans W. Heinsheimer (see Erich Alban Berg, *Alban Berg: Leben und Werk*, p. 34).
- 42 Adorno, *Alban Berg*, p. 118.
- 43 Letter to Schoenberg, 26 August 1929 (*The Berg–Schoenberg Correspondence*, p. 388).
- 44 Letter to Webern, 20 September 1929, quoted in Patricia Hall, 'The Progress of a Method: Berg's Tone Rows for *Lulu*', *Musical Quarterly*, 71 (1985), p. 500.
- 45 See Hall, 'The Progress of a Method', p. 512 and p. 518 n. 19. There is a double bar line at I/521, two bars before one of the second-phase series appears.
- 46 Reich, *Life and Work*, p. 164.
- 47 I am grateful to Patricia Hall for information that sheds light on this passage.
- 48 Reich, *Life and Work*, pp. 79–80; Hall, 'The Progress of a Method', pp. 501–2.
- 49 Reich, *Alban Berg*, p. 113.
- 50 Summarised in Perle, *Lulu*, pp. 93–127; see also Jarman, *Alban Berg: Lulu*, pp. 68–73.
- 51 Hall, 'The Progress of a Method', pp. 501–10.
- 52 Specifically, the notes 1–6 of the trope are a transposition ( $t=4$ ) of notes 2–7 of the basic series.
- 53 See pp. 196–9.
- 54 See, for example, Hall, 'The Sketches for *Lulu*', pp. 244–5; Manfred Reiter, *Die Zwölftontechnik in Alban Bergs Oper Lulu* (Regensburg: Gustav Bosse Verlag, 1973), pp. 44–5; Jarman, *The Music of Alban Berg*, pp. 119–20.
- 55 Hall, 'The Sketches for *Lulu*', pp. 253–6; Ertelt, *Alban Bergs 'Lulu'*, pp. 91–8 and 108–16. See chapter 12 for a discussion of the wider dramatic significance of this passage.
- 56 See chapter 8.
- 57 See Perle, *Lulu*, pp. 150–56.
- 58 For further details of the *Lulu* chronology during 1934 see Cerha, *Arbeitsbericht*, pp. 4–6.
- 59 Some changes were certainly made during this process. Among the more significant were amendments to bars I/98–9 and I/119–23, which had been

- composed before Alwa's and Schön's series had been derived from the basic series. Berg now incorporated these serial forms, enhancing the characterisation achieved in both passages. See Hall, 'The Progress of a Method', pp. 515–18; Ertelt, *Alban Bergs 'Lulu'*, pp. 62–5, 74–7.
- 60 Jarman, *Alban Berg: Lulu*, pp. 7–8.
- 61 *Ibid.*, p. 131; see also Anthony Pople, review of Friedrich Cerha (ed.), *Alban Berg, Lulu*, Act 3, [etc.], *Journal of the Royal Musical Association*, 114 (1989), p. 258.
- 62 Berg also prepared an arrangement of the second movement of the Chamber Concerto for violin, clarinet and piano, early in 1935. See David Congdon, 'Kammerkonzert: Evolution of the Adagio and the Trio Transcription', *Alban Berg Studien*, 2 (Vienna: Universal Edition, 1981), p. 154.
- 63 Further details of the chronology of the Violin Concerto and Berg's final illness may be found in Pople, *Berg: Violin Concerto*, pp. 26–41.
- 64 Adorno, *Alban Berg*, p. 21.
- 65 This is the subtitle of Adorno's *Alban Berg*.
- 66 Arnold Schoenberg, *Fundamentals of Musical Composition*, ed. Gerald Strang and Leonard Stein (London: Faber, 1967), pp. 58–9. See also pp. 123–7.
- 67 Reich, *Life and Work*, p. 178; Pople, *Berg: Violin Concerto*, pp. 33–4.
- 68 See p. 48; also Pople, *Berg: Violin Concerto*, pp. 98–102.
- 12 Lulu's feminine performance**
- 1 Donald Mitchell, 'The Character of Lulu', *The Music Review*, 15/iv (1954), pp. 268–74 (p. 270).
- 2 George Perle, 'The Character of Lulu: A Sequel', *The Music Review*, 25/iv (1964), pp. 311–19 (p. 317).
- 3 Adorno, *Alban Berg*, p. 130.
- 4 I do not mean to exclude the possibility of Lulu as a fantasy of female (homosexual) desire, a possibility which is in fact realised in Wedekind's drama itself. But rather, I mean to reflect the perspective of the three male critics quoted.
- 5 Karen Pegley, 'Musical Characterization of Women in *Lulu*: A Feminist Deconstruction' (given at the annual meeting of the American Musicological Society, Oakland, 1990), p. i.
- 6 Leo Treitler, 'The Lulu Character and the Character of *Lulu*', in Gable and Morgan (eds.), *Alban Berg*, pp. 261–86 (pp. 274–5).
- 7 Jarman, *Alban Berg: Lulu*, pp. 91 and 101.
- 8 Mitchell, 'The Character of Lulu', p. 272.
- 9 Perle, 'The Character of Lulu: A Sequel', p. 318.
- 10 Treitler, 'The Lulu Character', p. 263.
- 11 Mitchell, 'The Character of Lulu', p. 274.
- 12 Jarman, *Alban Berg: Lulu*, p. 95.
- 13 Quoted in *ibid.*, p. 37.
- 14 Others have observed that Berg employs allusion and parody in his later music. For instance, in *Berg: Violin Concerto*, Anthony Pople writes: '*Lulu* is littered with subtle examples of momentary allusion, and shot through with music which from moment to moment suggests something else' (p. 13).

- 15 Judith Butler, *Gender Trouble: Feminism and the Subversion of Identity* (New York: Routledge, 1990), p. 16.
- 16 *Ibid.*, p. 25.
- 17 The topic of Lulu's inconsistencies is discussed in all the sources cited here. I have chosen not to recapitulate those inconsistencies.
- 18 Perle, 'The Character of Lulu: A Sequel', pp. 317–18, quoting Kierkegaard's description of Don Giovanni with the phrase 'power of nature'. Critics of Wedekind's plays also theorise multiple Lulu characters. For instance, in *The Sexual Circus: Wedekind's Theatre of Subversion* (New York: Blackwell, 1987) Elizabeth Boa identifies 'The Three Faces of Lulu': she (i) 'is an allegorical spirit of nature', (ii) 'embodies and externalizes dreams and fantasies in a non-realist manner comparable to Expressionist theater', and (iii) 'is a mimetic character ... from a low-life milieu ... destroyed by bourgeois society' (p. 54).
- 19 Treitler, 'The Lulu Character', p. 274.
- 20 Mitchell, 'The Character of Lulu', p. 272.
- 21 Treitler, 'The Lulu Character', p. 269.
- 22 *Ibid.*, p. 263.
- 23 Perle, 'The Character of Lulu: A Sequel', p. 319.
- 24 Butler, *Gender Trouble*, p. 17.
- 25 *Ibid.*, p. 25.
- 26 I frame the discussion here as if Lulu were not a dramatic character. Later, I shall raise the issue of Wedekind as author of the Lulu character and Berg as composer of her musical projection.
- 27 Butler, *Gender Trouble*, p. 17.
- 28 My understanding of the Lulu character has prompted the designation 'Lulu's Freedom Music'. Other scholars have adopted different names in keeping with their understanding of Lulu: Treitler refers to the musical type as 'Lulu's Music' and Perle calls it 'Lulu's Entrance Music'. See also pp. 221–2.
- 29 Perle, *Lulu*, p. 79.
- 30 Mitchell, 'The Character of Lulu', pp. 272–3.
- 31 Treitler, 'The Lulu Character', p. 263.
- 32 Jarman, *Alban Berg: Lulu*, p. 87. The 'Mahlerian' features of Berg's music have been discussed by many commentators (see chapter 6). In this chapter I will refer to the quality of sound projected by both the Freedom and Coda Musics with the adjective 'Mahlerian'.
- 33 Mitchell, 'The Character of Lulu', p. 273 and Perle, *Lulu*, p. 79.
- 34 Both Jarman and Perle describe the tonal implications of Lulu's Freedom Music and the Coda Music in detail: Jarman, *The Music of Alban Berg*, pp. 94ff. and Perle, *Lulu*, pp. 131–9.
- 35 I have described the details of this metaphorical opposition in an unpublished paper, 'Lulu: Ways of Being Twelve-Tone'.
- 36 Jarman, *Alban Berg: Lulu*, p. 87.
- 37 My colleague Joseph Auner has pointed out that Mahler's music itself often projects a parodic or, perhaps better, ironic surface. Adorno affirms this aspect of Mahler's music in *Mahler: A Musical Physiognomy*, trans. Edmund Jephcott (Chicago: Chicago University Press, 1992): '[Mahler's] experiential core, bro-

- kenness, the musical subject's feeling of alienation, seeks to realize itself aesthetically by articulating the outward form not as immediate but as also broken, a cipher of the content, which is reciprocally influenced by the fractured form. In his work the musical phenomena are no more to be taken literally than the experiential core can directly become musical structure' (p. 33). And: 'Mahler's music does not express subjectivity, but in it the latter takes up its stance toward objectivity' (p. 25).
- 38 Frederic Jameson, 'Postmodernism and Consumer Society', in Hal Foster (ed.), *The Anti-Æsthetic: Essays on Postmodern Culture* (Port Townsend, WA: Bay Press, 1983), p. 114, quoted in Butler, *Gender Trouble*, p. 138.
- 39 Perle, *Lulu*, p. 81. The Lied is repeated in a shortened version in the duet between the Marquis and Lulu in Act III scene 1.
- 40 Perle (*ibid.*, pp. 106–9) calls these the 'Painter's Chords'. See Example 11.3b, p. 211.
- 41 See Reich, *Life and Work*, p. 162; also Perle, *Lulu*, pp. 110–12. It is Perle's terminology that is used here. See Example 11.3e, p. 211.
- 42 For a discussion of this canon see Craig Ayrey, 'Introduction: Different Trains', in Craig Ayrey and Mark Everist (eds.), *Analytical Strategies and Musical Interpretation: Essays on Nineteenth- and Twentieth-Century Music* (Cambridge: Cambridge University Press, 1996), pp. 1–32 (pp. 21–5). [Ed.]
- 43 See Reich, *Life and Work*, p. 164; also Perle, *Lulu*, pp. 87–9. Perle refers to this motive as 'Basic Cell I'.
- 44 Perhaps more obviously at this point, the Eb minor triad also states the first three notes of Alwa's series in its prime form. The close trichordal connection between the two rows is noted by both Jarman (*The Music of Alban Berg*, pp. 92–3) and Perle (*Lulu*, p. 97).
- 45 Jarman, *Alban Berg: Lulu*, p. 95.
- 46 Quoted in *ibid.*, p. 96.
- 47 Perle, 'The Character of Lulu: A Sequel', p. 319.
- 48 The same could perhaps be said of the Marquis who attempts to sell Lulu into prostitution for his own personal gain. She manages to escape from him, however.
- 49 Treitler, 'The Lulu Character', p. 273.
- 50 Jarman, *Alban Berg: Lulu*, p. 98.
- 13 Berg and the twentieth century**
- 1 Eric Hobsbawm, *Age of Extremes: The Short Twentieth Century, 1914–1991* (London: Abacus, 1995).
- 2 Pierre Boulez, 'The Current Impact of Berg' (1948), and 'Alban Berg' (1958), in *Stocktakings from an Apprenticeship*, trans. Stephen Walsh (Oxford: Clarendon Press, 1991), pp. 183–7, 243–58.
- 3 *Ibid.*, pp. 257–8.
- 4 *Ibid.*, p. 249.
- 5 *Ibid.*, p. 255.
- 6 Igor Stravinsky and Robert Craft, *Conversations with Igor Stravinsky* (London: Faber, 1979), pp. 71–2.

- 7 Stravinsky and Craft, *Dialogues* (London: Faber, 1982), pp. 124–5.
- 8 Stravinsky, 'The Composer's View', in Paul Griffiths, *Igor Stravinsky: The Rake's Progress* (Cambridge: Cambridge University Press, 1982), p. 2.
- 9 Boulez, *Conversations with Célestin Deliège* (London: Eulenberg, 1975), p. 24.
- 10 *Ibid.*, p. 25.
- 11 *Ibid.*, p. 24.
- 12 Leo Treitler, *Music and the Historical Imagination* (Cambridge, MA: Harvard University Press, 1989), p. 282. See also pp. 48–9.
- 13 Jarman, *Alban Berg: Wozzeck*, p. 68.
- 14 Jarman, *Alban Berg: Lulu*, pp. 100–101.
- 15 Robin Holloway, 'The Complete *Lulu*', *Tempo*, 129 (1979), p. 37.
- 16 Adorno, *Alban Berg*, p. 23.
- 17 Richard Toop, 'Ferneyhough's Dungeons of Invention', *The Musical Times*, 128 (1987), p. 626.
- 18 Max Paddison, *Adorno's Aesthetics of Music* (Cambridge: Cambridge University Press, 1993), p. 158.
- 19 *Ibid.*, p. 171.
- 20 J. Peter Burkholder, 'Berg and the Possibility of Popularity', in Gable and Morgan (eds.), *Alban Berg*, pp. 32–3.
- 21 *Ibid.*, p. 53.
- 22 Pople, *Berg: Violin Concerto*, p. 7.
- 23 *Ibid.*, p. 102.
- 24 Craig Ayrey, 'Berg's "Scheideweg": Analytical Issues in Op. 2/ii', *Music Analysis*, 1 (1982), p. 190.
- 25 Ayrey, 'Tonality and the Series: Berg', in J. Dunsby (ed.), *Early Twentieth-Century Music [Models of Musical Analysis]* (Oxford: Blackwell, 1993), p. 109.
- 26 *Ibid.*, p. 111.
- 27 See Jarman, *Alban Berg: Wozzeck*, p. 157.
- 28 See George Perle, 'Reflections (1990)', in *The Right Notes: Twenty-Three Selected Essays* (Stuyvesant, NY: Pendragon Press, 1995), pp. 183–7.
- 29 Holloway, 'Where the Wild Things Are', *Tempo*, 137 (1981), p. 37.
- 30 Charles Rosen, *The Romantic Generation* (Cambridge, MA: Harvard University Press, 1995), p. 166.
- 31 *Ibid.*, pp. 174–5.
- 32 Hugh Collins Rice, 'Further thoughts on Schnittke', *Tempo*, 168 (1989), p. 13.
- 33 For further discussion of these issues see Peter Cahn, 'Klassizismen bei Berg', in W. Osthoff and R. Wiesend (eds.), *Colloquium Klassizität, Klassizismus, Klassik in der Musik 1920–1950, Würzburg 1985* (Tutzing: Schneider, 1988), pp. 95–138.