ALBAN BERG'S *LULU*

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by

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ABSTRACT

This study is an analysis of the opera, Lulu, by Alban Berg, concentrating on pitch organisation in relation to its dramatic context.

An introduction outlines Lulu's conception, composition, posthumous history, libretto and Dramatis Personae.

The first chapter represents an exposition of the opera's basic material. It includes a description of Berg's early and later row-derivations, and analysis of the Prologue, Schön's Sonata, Alwa's Recitative-review and the Chorale, from Act I.

The second chapter consists of a selection of numbers, demonstrating development towards the musical and dramatic climax of the work. This is exemplified by Geschwitz's Recitative, Schön's Arietta, Tumultuoso, the exposition of Alwa's Rondo, Schön's Aria, Lulu's Lied, Schön's death and the Film Music, from Act II/1.

The third chapter illustrates recapitulation of the opera's first half, by means of the Rondo's completion and Alwa's Hymn, Leitsektionen and role doubling, and Variations on Wedekind's lute melody, from Acts II/2 and III.

Each chapter contains synopses of dramatic events in relation to the opera's formal design, to describe the context in which the analysed excerpts appear.

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INSTRUMENTAL ABBREVIATIONS

asax	alto saxophone	pf	piano
bcl	bass clarinet	pic	piccolo
bn	bassoon	str	string(s)
cel	celesta	timp	timpani
cl	clarinet	tpt	trumpet
db	double bass	trbn	trombone
dbn	double bassoon	va	viola
enghn	english horn	vc	cello
fl	flute	vib	vibraphone
hn	horn	vn	violin
ob	oboe	ww	woodwind
perc	percussion		

These have been adopted from The New Grove's Dictionary of Music and Musicians, except for the treatment as one unit for abbreviations, asax, bcl and enghn, similar to db and dbn, and the additional abbreviations:

bd	large bass drum
hp	harp
sd	side drum

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PREFACE

This analysis of excerpts from Lulu, in terms of pitch organisation and its dramatic context, is an assimilation and application of basic material in analyses by Redlich, Reich, Reiter, Carner, Jarman and Perle.
The excerpts' order of appearance in the opera has been retained. Division into chapters, entitled Exposition, Development and Recapitulation, does not exclude overlapping. Extra detail has been relegated to tabular form in Appendix A.

Regarding interval notation, no distinction is made between enharmonic equivalents, e.g. G-C♭ is regarded as a major third (M3) and not a diminished fourth. In Appendix A, the following abbreviations are occasionally used: m3 (minor third), st (semitone), t (tone), and the above-mentioned M3.
In general, the combination of perfect fourths or fifths and tritones, is called a Viennese fourth chord, major and minor triads are distinguished by upper and lower cases, respectively, and optional doublings in the score (ev. mit Ges. and small notes within parentheses) are disregarded.

Reference to Act III pertains to the vocal score, owing to the unavailability of the orchestral score; unfortunately, Cerha's orchestrated version of Act III was published after the completion of this dissertation.

Row tables are enclosed in a pocket on the back cover (Appendix B). For the sake of convenience, all start on pitch C, as in George Perle, The Operas of Alban Berg Volume Two/LULU; I have also adopted his set-form designations for the dyadic and chordal Basic Series-permutations, and Geschwitz's Trope.

I wish to thank the following for their assistance:

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INTRODUCTION

The best introduction to Lulu is an auditory one. Berg's comment about Wozzeck is applicable to Lulu as well:

> However much one may know about the musical forms to be found in this opera - how strictly and logically it is all 'worked out', how ingeniously planned in all its details ... from the moment when the curtain rises until it descends for the last time, there must not be anyone in the audience who notices anything of these various fugues and inventions, suite movements and sonata movements, variations and passacaglias. Nobody must be filled with anything else except the idea of the opera - which goes far beyond the individual fate of Wozzeck.[1]

Lulu's conception, composition and posthumous history can be outlined as follows:

TABLE 1[2]

DATE	EVENT
9 February 1885	Alban Berg born in Vienna.
1892-1894	Frank Wedekind writes the original, undivided Lulu tragedy, Die Büchse der Pandora (= Version I).
1895 and 1904, respectively	Erdgeist and Die Büchse der Pandora appear as revised and expanded half-sections of Version I (= Version II). Berg's libretto was based on Version II.
Summer 1904	Berg read Erdgeist

cont. ....

[1]Alban Berg, "Das 'Opernproblem'", as quoted in Willi Reich, The Life and Work of Alban Berg, trans. Cornelius Cardew (London: Thames & Hudson, 1965), p. 66, end note in italics.

[2]Based on The New Grove's Dictionary of Music and Musicians, 1980 ed., s.v. "Berg, Alban, § 5: 'Lulu'", by George Perle; Hans F. Redlich, Alban Berg. The Man and his Music (London: John Calder, 1957), pp. 168-170; Alban Berg, Letters to his Wife, ed., trans., and annotated by Bernard Grun (London: Faber & Faber, 1971), pp. 272-273; and Klaus Schweizer, Die Sonatensatzform im Schaffen Alban Bergs (Stuttgart: Musikwissenschaftliche Verlag, 1970), pp. 162-164.

DATE	EVENT
29 May 1905	First performance of Die Büchse der Pandora in Vienna, produced and introduced by Karl Kraus.
March 1926	Unsuccessful negotiations with Gerhart Hauptmann's publishers - Berg had considered Und Pippa tanzt for the libretto of his next opera.
Spring 1928	Berg decides to set Wedekind's Lulu plays to music.
Spring 1929	Completion of the libretto. Composition begun, but temporarily interrupted by work on Der Wein (commissioned by Růžena Herlinger).
August 1929	Agreement with Wedekind's heirs signed.
23 August 1929	Der Wein completed.
4 June 1930	First performance of Der Wein.
23 July 1931	Work on the Finale of Act I (Lulu).
Mid-September 1933	Act II completed.
December 1933	Lied der Lulu (II/1) dedicated to Webern on his fiftieth birthday
February 1934	Berg occupied with the final scene of Act III.
April 1934	Lulu completed in short score.
Late April 1934	Dedicatory letter and passage in the vocal score: "Eine Seele, die sich im Jenseits den Schlaf aus den Augen reibt ..." (Lulu II/1, b.317 ff) sent to Karl Kraus on his sixtieth birthday.
June 1934	Overhaul of Lulu completed. Berg started orchestrating those sections to be included in the Lulu Suite.
Summer 1934	Compilation of the Lulu Suite/Symphony.
28 August 1934	Autograph of Lulu's Prologue sent to Schoenberg and the opera dedicated to him for his sixtieth birthday on 13 September.

cont. ....

DATE	EVENT
30 November 1934	First performance of the Lulu Suite (Erich Kleiber, Berlin).
Winter 1934-1935	Work continued on the orchestration of Lulu.
January 1935	Berg received commission for a concerto, from Louis Krasner.
Early 1935	Lulu Suite published in full score by Universal Edition (UE).
Spring 1935	Orchestration of Lulu interrupted by the composition of the Violin Concerto, a memorial for Alma Mahler's 18-year-old daughter, Manon Gropius.
11 August 1935	Violin Concerto completed.
Mid-October 1935	Orchestration of Act II completed.
11 December 1935	First performance of the Lulu Suite in Vienna, in the presence of Berg. Mortally ill, he hears fragments from his opera for the first and last time.
24 December 1935	Berg dies in Vienna. Orchestration complete for Acts I and II, the first 268 bars of Act III/1, and the sections of Act III included in the Lulu Suite.
1936	Vocal score of the first two acts of Lulu (piano-reduction by Erwin Stein), published by UE. Nazi take-over halted the engraving of Act III's vocal score after 70 pages.
11 March 1936	Schoenberg received copy of Berg's sketches and libretto, in view of Act III's completion. Webern and Zemlinsky were also approached afterwards. All three declined.
19 April 1936	First performance of the Violin Concerto in Barcelona.
1937	Publication of libretto for first two acts.
2 June 1937	Première of Lulu with makeshift-finale (Lulu Suite sections for Act III), at the Stadttheater, Zürich.

cont. ....

DATE	EVENT
After 1960	Helene Berg refused to release the unpublished material of Act III.
1963	Orchestral score of Acts I and II published by UE.
30 August 1976	Helene Berg dies.
1979	Stein's piano-reduction of Act III published in a revised edition by Friedrich Cerha.
24 February 1979	First performance of Lulu (completed by Cerha), in Paris.
Early 1986	Cerha's orchestrated version of Act III published (UE 13640b).

In a letter to Schoenberg (7 August 1930), Berg describes his conversion of Wedekind's two semi-independent plays (7 acts, 2 prologues) into the opera's libretto (3 acts, 1 prologue):

> ... Of my new opera I can only report that I am still in the first Act. Apart from the composition, the twelve-tone style of which does not yet permit me to work quickly, it is the libretto that holds me up so much. Its formation progresses alongside the composition. As I have to cut out four-fifths of Wedekind's original, the selection of the remaining one-fifth is enough of a torture. And what further torture when I try to adapt that selection to the larger and smaller musical structures and to avoid destroying Wedekind's idiomatic characteristics in the process! ...
>
> Despite this clinging to detail, the libretto as a whole has, of course, been quite clear to me for a long while. That applies to the musical proportions as well as to the dramatic structure. The scenario can be briefly presented thus:

	The two plays	The opera
"Earth Spirit"	Act I: Studio of the painter, in which Dr Goll, Lulu's husband, dies of an apoplectic stroke. Act II: The flat of Lulu and her second husband, the painter, who commits suicide. Act III: the dressing room in a theatre, of Lulu, the dancer, to whom Dr Schön proposes marriage.	Act I 3 scenes
"Earth Spirit"	Act IV: Schön's flat, where he is killed by Lulu. She is arrested by the police. After 10 years in prison Lulu is released by Alwa (Schön's son) and Geschwitz. She returns ...	Act II Scene 1 separated from scene 2 by a long interlude.
"Pandora's Box"	... in Act I to Schön's flat (scene as before). She becomes Alwa's mistress. Act II: Gambling-den in Paris. Lulu has to flee. Act III: In an attic in London.	Act III. 2 scenes.

> The brackets (right and left) indicate how scenes are deliberately combined in my text which were separated in Wedekind's plays, which, after all, are <u>two</u> plays. The interlude which bridges the gap between the last act of 'Earth Spirit' and the first act of 'Pandora' is also the focal point of the whole tragedy. In it begins, after the ascent of the preceding acts or scenes, the descent of the following scenes, the inversion. (By the way: the four men who visit Lulu in her attic have to be represented in the opera by those singers who have represented the men who become Lulu's victims in the first half of the opera - in inverted order of appearance, to be sure ...)[3]

Perle has drawn up a list of <u>Dramatis Personae</u>,[4] which he believes would

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[3]Redlich, <u>Alban Berg</u>, pp. 175-176. In the final form of the libretto, "10 years in prison" is changed to one year's imprisonment, "the four men" are reduced to three, and the order of their appearances is not inverted.

[4]George Perle, <u>The Operas of Alban Berg Volume Two/LULU</u> (Berkeley, California: University of California Press, 1985), pp. 64-65. I have substituted "The Medical Officer" for Perle's translation of "Der Medizinalrat", "The Medical Specialist".

have corresponded to that of Berg's had he lived to supervise publication:

Dramatis Personae

Lulu	High Soprano
Countess Geschwitz	Dramatic Mezzosoprano
Wardrobe Mistress (Act I, Sc. 3)	Contralto
The Schoolboy (Act II)	
The Groom (Act III, Sc. 1)	
The Medical Officer (Act 1, Sc. 1)	High Bass
The Banker (Act III, Sc. 1)	
The Professor (Act III, Sc. 2)	
The Painter (Act I, Sc. 1/2)	Lyric Tenor
The Negro (Act III, Sc. 2)	
Dr. Schön (Act I; Act II, Sc. 1)	Heroic Baritone
Jack the Ripper (Act III, Sc. 2)	
Alwa, Dr Schön's son, a composer	Youthful Heroic Tenor
Schigolch	High Character Bass
The Animal Tamer (Prologue)	Heroic Bass with touch of Buffo
The Acrobat (Act II; Act III, Sc.1)	
The Prince (Act I, Sc. 3)	Buffo Tenor
The Manservant (Act II, Sc. 1)	
The Marquis (Act III, Sc. 1)	
The Stage Manager (Act I, Sc. 3)	Buffo Bass (Low)
Clown (silent role, Prologue)	
Stagehand (silent role, Prologue)	
The Police Commissioner (speaking role, Act III, Sc. 1)	

ADDITIONAL/...

ADDITIONAL ROLES IN THE ENSEMBLES OF ACT III, SC. 1

Fifteen-year-old Girl	Opera Soubrette
Her Mother	Contralto
Designer	Mezzosoprano
Journalist	High Baritone
Servant	Low Baritone

A list of Dramatis Personae appears amongst Berg's Lulu sketches, showing his later but not final ideas on the realisation of dual and triple roles; Wedekind's omitted proper names are in brackets. He describes Lulu's High Soprano as "Able to reach two or three ledger lines, somewhat coloratura and not without [illegible]", and adds the note: "Three Acts : Act I, 3 scenes; Act II, 2 scenes (same set); Act III, 2 scenes. Together: 7 scenes (6 sets). The director of this opera must be a drama director."[5]

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[5]Douglas Jarman, The Music of Alban Berg (London: Faber & Faber, 1983), p. 199.

CHAPTER I

EXPOSITION

Early row-derivations

In a letter to Schoenberg, dated 9 July 1928, Berg wrote about his work on *Lulu*:

> But it progresses very slowly and with difficulty. The break from composition for nearly two years could well be to blame; then again the considerable difficulty to supply the music of an entire opera with 'one row'.[6]

Scherliess[7] gives details of Berg's *Lulu* rows, now in the Österreichische Nationalbibliothek Musiksammlung (Vienna).[8] The two 48-staved row charts, each measuring 35 x 58,5 cm, consist of separate, smaller sheets of music, stuck together. Each page, representing the prime and inverted forms of the Basic Series (BS), respectively, is divided into twelve four-staved blocks. A block represents one transpositional level and fourteen permutations of the BS; these descend semi-tonally. The first blocks (prototypes) of each leaf are transcribed as follows: see Tables 2 and 3.[9]

The following comment about Table 2 is an extension of Scherliess' descrip-

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[6]Author's translation of Volker Scherliess, "Alban Bergs analytische Tafeln zur Lulu-Reihe", *Die Musikforschung*, 30/4 (1977): 452.

[7]Ibid., pp. 452-464.

[8]ÖNB Musiksammlung F21 Berg 28/XLIX. See Patricia Hall, "The Progress of a Method : Berg's Tone-Rows for *Lulu*" (Paper read at the Fourth Michigan Conference on Music Theory at the University of Michigan, 29-31 March 1985), Fig. 5. This paper will be published in the forthcoming *Musical Quarterly*.

[9]Based on Scherliess' facsimile in "Alban Bergs Tafeln", pp. 453-454, and Hall's transcription in "Progress of a Method", Ex. 5.

TABLE 2: TRANSCRIPTION OF ALBAN BERG'S ROW CHART FOR LULU

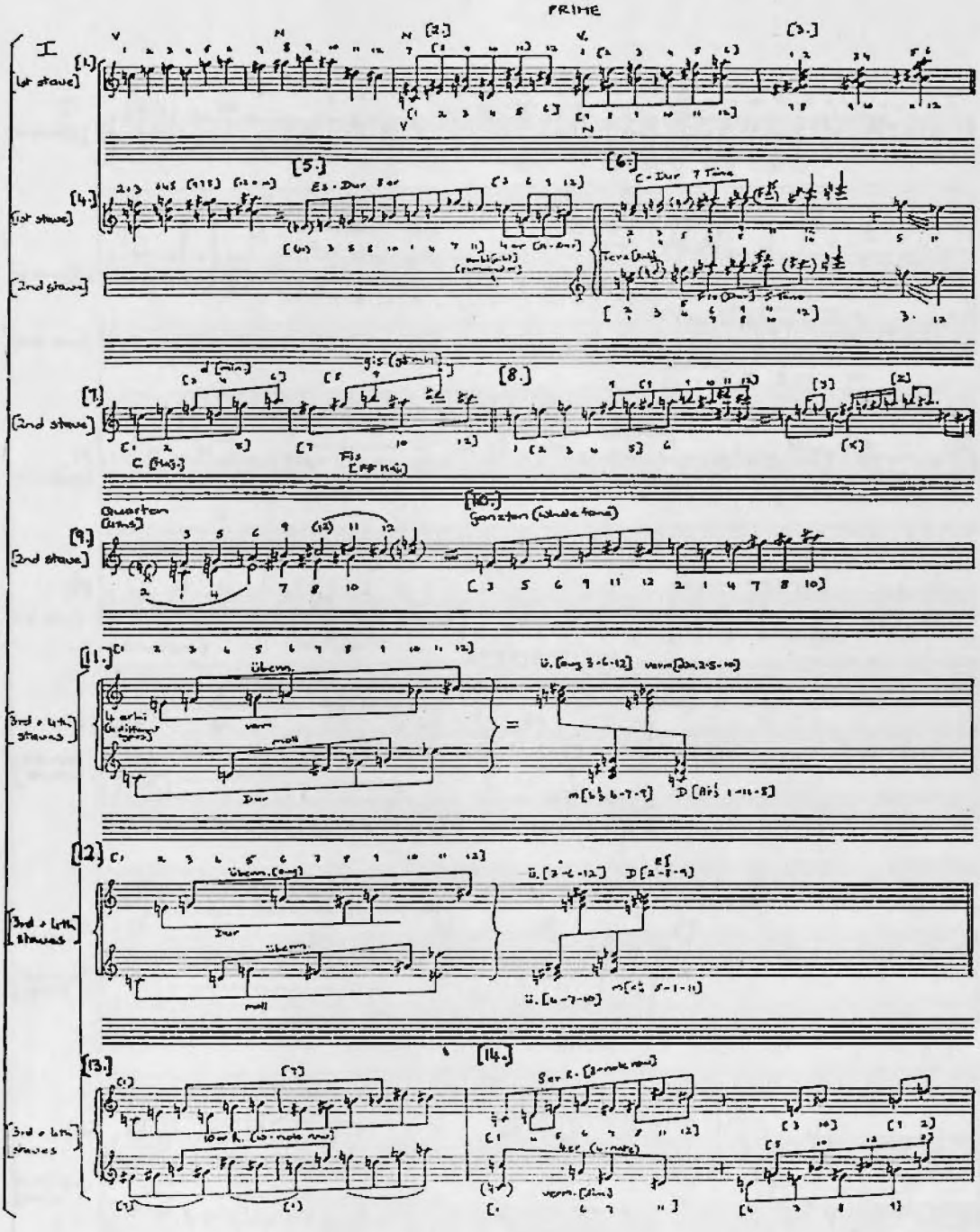
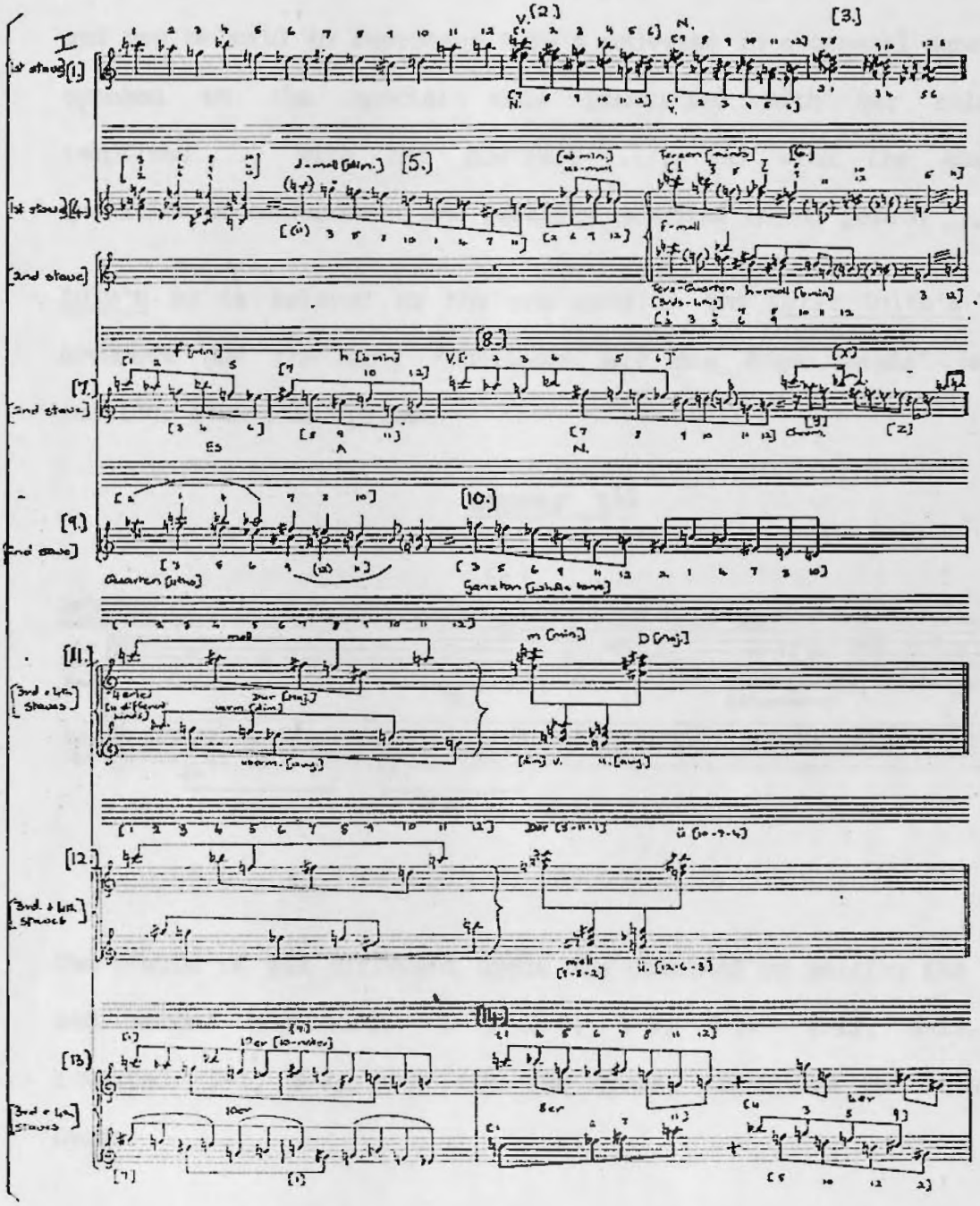


TABLE 3: ALBAN BERG'S ROWS FOR INVERSION



tion of the BS-permutations in Berg's row chart:

1. The subdivision of the BS into first (1-6) and second hexachords (7-12), demonstrates "white-note" and predominantly "black-note" dichotomy. "The Basic Series ... pervades the opera as a whole and may be said to represent Lulu's universe in a general sense, as opposed to the special sets identified with her role as temptress ..., with her portrait ..., and with the abstract qualities of enchantment and fatality embodied in her person ..."[10]

   Lulu's BS is related to the row used in the Lyric Suite's first movement and the song "Schliesse mir die Augen beide" (second setting, 1925), as follows:

EXAMPLE 1[11]

2. Two chains of six different dyads are obtained by pairing the first and second hexachords: 1-7, 2-8, 3-9, 4-10, 5-11, 6-12, and inverted: 7-1, 8-2, etc. In the opera, these are the Painter's Dyads.

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[10]Perle, The Operas Vol. 2, p. 93.

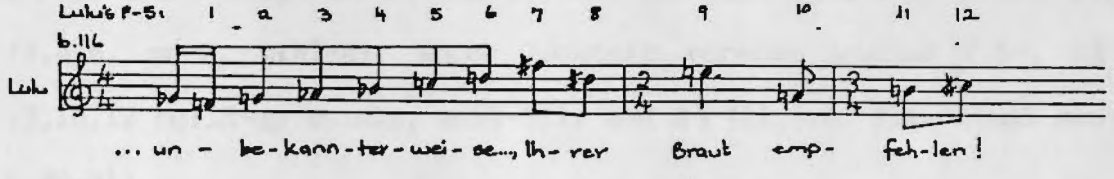
[11]Douglas Jarman, "Dr. Schön's Five-Strophe Aria : Some Notes on Tonality and Pitch Association in Berg's Lulu", Perspectives of New Music (PNM) 8/2 (Spring-Summer 1970): 32.

3. The superimposition of notes 1-2-7-8, 3-4-9-10, and 5-6-11-12, form Painter Chords ①, ②, and ③, associated with the Painter.

4. Verticalisation of notes 2-1-3, 6-4-5, 9-7-8, and 12-11-10, produce Chords ①, ②, ③, ④ of the Picture Trope (P.T.), which depicts Lulu's portrait as Pierrot.

5. These chords are unravelled linearly to form an eight-note scale form and four-note cadential element, which form Lulu's Series: (11), 3,5,8,10,1,4,7,11 + 2,6,9,12 (A major). This derivational unfolding takes place in Act I, b.116-118: two statements of P.T. T-0 occur between cls[12] and vib (from end 1st beat b.116, doubled in part by hns, vn 2 and va), with Chord ① of the first statement between hns, vib and va (2nd ♪ b.116); one statement follows in str (b.117-beg. b.119, cls are doubled by vns). Lulu sings her P-5, which is derived from P.T. T-0:

EXAMPLE 2



Its rhythm and twisted prefix (usually notes 2,1,2[13] but here, G♭ is related to vocal line of b.115) is associated with Lulu, the temptress.

6. Two chains of thirds and fourths are derived by pairing adjacent notes and extracting a major third tremolo: upper 1-2, 3-4, (5),

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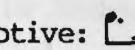
[12] G♯ in cl 1, mid. b.116, should be G♮. See George Perle, "The Score of Lulu", PNM 3/2 (Spring-Summer 1965): 132.

[13] As in Berg's sketch for his pupil and official biographer, Willi Reich. See Reich's article, "An der Seite von Alban Berg", Melos 27 (1960): 37, "Skizze I zu Lulu".

7-6, 8-9, (11), 10-12, (1-2) + 5-11 tremolo; lower 1-2, (3), 4-5, 7-6, 8-9, 10-11, (12), (1-2) + 3-12 tremolo. In the opera, this motive is associated with the Medical Officer, Banker and Professor.

7. The triads C major, d minor, F♯ major and g♯ minor (1,2,5; 3,4,6; 7,10,12 and 8,9,11), are extracted by a non-axiomatic procedure. In the opera, this sequence of major, minor plus their tritone transpositions, occurs as Alwa (minor) briefly greets his father (major) and the Painter (I/1, b.92-beg. b.93, in three solo vcs : A♭$^{6}_{4}$, b♭$^{6}_{3}$, D$^{5}_{3}$, e$^{6}_{4}$, i.e. BS P-8); his main intent is to greet Lulu. The triads recur when the Painter asks Schön how Dr. Goll (Lulu's late husband, the Medical Officer) met Lulu (I/2, b.694, bns, dbn, hns : b♭$^{6}_{3}$, D$^{5}_{3}$, e$^{6}_{4}$ in the rhythm of the opera's fate motive, ♩.♩.♪♩.[14] preceded by G♯$^{6}_{4}$ in hns, end b.693).

At the beginning of Act I, the triadic permutation of the inversion (see Table 3, no. 7) accompanies Schön greeting his son : f$^{6}_{3}$ (BS I-O : 2,1,5 in va and vc, end 1st beat b.88-beg. b.89), E♭$^{6}_{3}$ (3,4,6, vn 2, b.87-89, whose harmonic version doubles fls), b$^{5}_{3}$ (7,10,12 build-up in cls, b.90-91), and A$^{5}_{3}$ (11,9,8, fls, final beat b.90-91).

8. The first and second hexachords are overlapped : 1-4,7,5,8,6,9-12. This, stated in two parts, gives rise to the Medical Officer's rhythmic motive:  ,[15] and Schigolch's serial Trope:[16] X (1,4,11,12), Y (2,3,7,5) and Z (8,6,9,10).

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[14]Which marks every turning point in Lulu's life and underlines every significant word or phrase.

[15]e.g. I/1, b.108-end 1st beat b.109 (cls), b.113 (ob) and b.114 (hns), when the Medical Officer is mentioned.

[16]"Each segment is subjected independently of the set as a whole, to such serial operations as will not revise the relative content of the respective segments." Perle, The Operas Vol. 2, p. 102.

In the opera, the first step of Schigolch's derivational unfolding (overlapping hexachords of BS P-9) takes place in I/1, b.112 (cls 1.2 H, doubled by vns and vocal line, with note 1 in cl 3 and upper vc, 2nd ♪ b.112). A modified version of the second step (segmentation) follows in b.113; instead of continuing with BS P-9, BS P-5 generates segments X (1,4,11,12 in ob) and Y plus Z (2,3,7,5+ 8,6,9,10 in vocal line) of Schigolch's T-5. In terms of Schigolch's T-9 (whose source is BS P-9), these segments would be the equivalent of unordered Z, X and Y, respectively. This ambiguity is due to tetrachordal invariancy in the prime forms;[17] that between the prime and inversion determines the choice of TI-4's[18] imitation in the next b.114: X (hns), Y and Z (vocal line).

Schigolch's first appearance (I/2), just before his Nonet for ww,[19] is accompanied by the derivational unfolding from BS I-7 : hexachordal overlapping between solo db (b.457-459, first hexachord) and dbn (b.459, second hexachord), and segmentation (b.460-461) into X (dbn), Y and Z (hn 1, doubled by solo vc) of Schigolch's TI-7; the Medical Officer's inherent, rhythmic motive is justifiably modified, since he died in the previous scene. The repeat of X (dbn, b.462) links the two-part presentation to its linear statement[20] (dbn, b.463-464)

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[17]See ✕ in Schigolch's row table (Appendix B).

[18]Also marked ✖ in Schigolch's row table.

[19]Schigolch's associative timbre, symbolising his asthma. Berg, too, suffered from asthma, which may explain his meticulous portrayal of Schigolch gasping for air. The Nonet's tempo marking, ♩ = 48, is a multiple of 6, i.e. the number associated with Schigolch, according to Jürg Stenzl, "Lulus 'Welt'", in Alban Berg Symposion Wien 1980 : Tagungsbericht. Alban Berg Studien-Band 2, ed. Rudolf Klein (Vienna: Universal Edition, 1981), p. 33.

[20]As in Berg's "Skizze I zu Lulu ". See Reich, "An der Seite von Alban Berg", p. 37.

and its cyclically permuted version (Y,Z,X,[21] vocal line).

9. The BS is permuted into a sequence of harmonic perfect fourths by rearranging the notes : (2 as grace note), 1-3, 4-5, 2-6, 7-9, 8-(12), 10-11, (1-3).

10. Linear unravelling produces two whole-tone collections: 3,5,6,9,11, 12 and 2,1,4,7,8,10. In the opera, this derivational unfolding occurs near the start of Act I:

EXAMPLE 3

Alwa's comment, "Wenn ich Sie doch nur für meine Hauptrolle engagieren könnte!", is mirrored by the potential of the BS, as a whole-tone sequence of perfect fourths (vns, end b.98-mid. b.99). The successive unravelling of its components, coincides with Lulu's claim that she would be inadequate as a dancer ("Ich würde für Ihr Stück wohl kaum gut genug tanzen ...", b.99-102, plus vn 1). It is accompanied by the first whole-tone collection of BS P-6 (vc, mid. b.100-101) and the complete perfect fourth sequence of BS I-11 (cls 2.3, doubled by vn 2 and va, 2nd beat b.101-102).

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[21] E♭, 2nd beat b.464, should be E♮. See Perle, "The Score of Lulu", p. 132. Perle uses this segmental ordering and assigns prime form to the descending, chromatic Trope. See Perle, The Operas Vol. 2, p. 103, Ex. 63.

These two permutations are associated with the characters' response to the opera's underlying theme of fatality.[22]

11. Triads, A♭ major, b minor, diminished on E and augmented F-A-C♯, are unsystematically extracted from the BS : 1,8,11; 4,7,9; 2,5,10; 3,6,12.

12. A different selection of notes produces a c minor and E major triad, and the augmented triads D-F♯-A♯ and F-A-C♯ (as in no. 11) : 1,5,11; 2,8,9; 4,7,10; 3,6,12. In Act I, the triads A♭$^{6}_{4}$ and e$^{5}_{3}$ (b.107-108, three solo vc), together with cls' augmented triads D-F♯-B♭ and F-A-D♭ (b.109, mid. 1st beat-beg. final beat), anticipate their compositional derivation from BS I-3[23] (see Table 3, no. 12). During the following bars, vn 1, doubled in part by cl 1 (end 1st beat b.110-111) sounds notes 1,5,8 and A♭$^{6}_{3}$ (melodic and harmonic, 1,5,11); vn 2 doubling vocal line (2nd beat b.110-111) has notes 2,8, and the dyad (8-9) coincides with va's dyad (8-2), to form e$^{6}_{3}$; the augmented triad C♯-A-F (4,7,10) occurs melodically in va (final beat b.110-end 2nd beat b.111) and harmonically in str (2nd ♪ b.112); and vc (b.110-beg. b.112) unfolds the augmented triad B♭-G♭-D (3,6,12) melodically and harmonically. The reappearance of the triads only, is related to the unfolding's accompanying text: "Aber wo ist der Herr Gemahl? Ich seh' Sie heute zum erstenmal ohne ihn."; F$^{5}_{3}$, A$^{6}_{4}$ and augmented triads B♭-D-F♯, E♭-G-B of BS P-5 occur in ww, doubled by pf (b.163-mid b.166 and final beat b.181-185), to

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[22]See Janet Naudé, "The Neglected Basic Series-permutation in Alban Berg's Lulu", South African Journal of Musicology 5/2 (December 1985) : 93-98.

[23]Perle, The Operas Vol. 2, pp. 122-123.

the augmented version of the opera's rhythmic fate motive, i.e. during and at the end of the Painter's pursuit of Lulu, before her husband's arrival.

13. In an arbitrary manner, Berg extracts the fourth F-B♭ (3,10) from the sequence, first hexachord-second hexachord, and the fourth B-E (9,2) from the sequence, second hexachord-first hexachord, leaving a remainder of two ten-note rows : 1,2,4-9,11,12 and 7,8,10-12,1,3-6.

14. An eight-note row (top stave : 1,4-8,11,12) results after extraction of these "Erdgeist"[24] fourths (3,10,9,2). Here, the latter will be referred to as Basic Cell I[25] (BC I). In the opera, BC I represents passion and death. Further extraction of perfect fourths from the eight-note row (4,5 and 8,12) leaves a melodic diminished seventh chord (bottom stave): C-A-F♯-D♯ (1,6,7,11); on the right, the extracted fourth dyads are arranged to form the other two diminished seventh chords: D-F-G♯-B (4,3,8,9) and G-B♭-C♯-E (5,10,12,2). Here, the diminished seventh chord will be called Basic Cell III[26] (BC III) and the aggregate of all three diminished seventh chords, Trope II:[27]

EXAMPLE 4

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[24]So called by Berg in "Skizze I zu Lulu ". See Reich, "An der Seite von Alban Berg", p. 37.

[25]Designation by Perle. See The Operas Vol. 2, pp. 87-89.

[26]Perle's designation. Ibid., p. 87.

[27]Perle's designation. Ibid., p. 89-90.

Hall dates the row charts back to 17 July 1927.[28] Scherliess claimed they were undated, but suggested Autumn 1928,[29] the time of Berg's letter to Schoenberg (1 September 1928):

> Your interest in my new opera also makes me happy and I take your suggestions no less seriously than those you gave me twenty years ago. I believe that I am following them in that I'm not restricting myself to a single row, but have from the outset derived from it a number of other forms (scale forms, chromatic, fourth and third forms, progressions of triads and tetrachords, etc. etc. etc.) which I then interpret (each one) as an independent row and treat as such (with all its inversions and retrograde forms). Always reserving the right — in case that doesn't suffice: to construct a new row, as I did in my "Lyric Suite", where the row underwent small changes with each pair of movements (through the reordering of a few pitches); at least back then that was very stimulating for my work.
>
> However, such decisions need not be made for a long time yet: Although I have already composed over 300 measures, that's merely the beginning for an opera of more than 3,000 measures. And to think what Fate may have in store for these plans of mine -- despite the most rigorous planning — in the course of the years of work ahead![30]

Former Lulu analyses originated from Reich's article,[31] published shortly after Berg's death, and from his official biography of Berg. Reich also published three leaves, on which Berg had compiled analytical information in 1935.[32] Reich's biography includes an "appreciation of the opera ... in response to American publication demands", based on Berg's own words and musical examples (he discussed Lulu's short score in detail with Reich over several days in 1934).[33] Reich wrote:

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[28]Hall, "Progress of a Method", p. 10. This date also appears in the Alban Berg ÖNB Exhibition Catalogue (Vienna: ÖNB, UE, 1985), p. 103, No. 274.

[29]Scherliess, "Alban Bergs Tafeln", p. 455.

[30]Hall, "Progress of a Method", pp. 9-10.

[31]Willi Reich, "Alban Berg's Lulu", The Musical Quarterly 22/4 (October 1936) : 383-401.

[32]See Reich, "An der Seite von Alban Berg", pp. 37, 39, 40.

[33]See Reich, The Life and Work, pp. 156-177.

> The work's thematic unity is guaranteed by the fact that a single twelve-note series - allotted to Lulu - determines the whole musical action of the opera. ... Berg used special methods to derive all the most important musical figures from this series, ... Quite generally we may remark that in this work, as in the Lyric Suite and Der Wein, Berg uses the twelve-note technique in a highly specific manner that is specially adaptable - besides the exercise of its purely musical function - to the particular needs of the music dramatist. So he manages to refer the whole 'leitmotivic' and 'leit-harmonic' structure of his opera to a single musical figure, just as the poet placed a single human figure at the centre of his drama; everything else is 'produced' from her and stands in a functional relationship to her.[34]

According to Rudolf Stephan, "The twelve-tone aspect is hardly of interest to the listener of the opera, especially since its musical significance is minimal in this work."[35]

To Scherliess, these two statements "indicate the essence of Lulu's music, that of the twelve-tone composer, Berg himself - its ambivalent technical row organisation and sensual appearance of the material, i.e. its wealth, and this means for us also : its problems."[36]

The row charts, described above, indicate that Berg systematically and consistently examined the row in terms of traditional tonal components. Earlier, in the Lyric Suite, he had attempted to "write strict 12-tone music with a strong tonal element ..."[37]

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[34]Ibid., pp. 161-162.

[35]Author's translation of Rudolf Stephan, "Alban Bergs 'Lulu'", p. 272, as quoted in Scherliess, "Alban Bergs Tafeln", p. 452, n. 4.

[36]Scherliess, "Alban Bergs Tafeln", p. 452 (author's translation).

[37]Berg to Schoenberg (letter of 27 June 1926) in Ursula von Rauchhaupt, ed., Schoenberg-Berg-Webern: The String Quartets. A documentary study (Hamburg: Deutsche Grammophon Gesellschaft, 1971), p. 89.

Berg's comment about Wozzeck is appropriate to Lulu also:

> ... I had nothing else in mind at the moment when I decided to write an opera, nothing else in mind even as regards the technique of composition, than to render to the theatre what is the theatre's, and that means to shape the music in such a way that it is aware in every moment of its duty to serve the drama. Still further: the music must produce everything that the play needs for its transposition into the reality of the boards; and this requires from the composer that he carry out all the most important tasks of an ideal director. And all this without prejudicing the usual absolute (purely musical) justification of such music; without prejudicing the music's own life, which may not be hindered by anything extra-musical.[38]

Later row-derivations[39]

In his biography of Berg, Reich wrote:

> ... the fair copy of the full score [Der Wein] was ready on 23rd August [1929]. That very day I visited him in Trahütten. He was in the gayest of moods; not only because the commission had been 'dealt with' so happily, but also because he could now return with fresh intensity to the opera, the musical character of which he had anticipated in some features of the aria.
>
> At that time I too was inspired by a tremendous spirit of enterprise:...
>
> An epistolary discussion of certain problems of twelve-note technique that I considered parallel with geometrical constellations was a further result of that visit. ... I also wrote about 'complementary series' in which it was possible - on account of their special construction -, knowing a few of the notes, to deduce the rest.[40]

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[38]Alban Berg, "Das 'Opernproblem'", as quoted in Reich, The Life and Work, p. 64 and endnote in italics.

[39]The following section is based on Hall's paper, "Progress of a Method".

[40]Reich, The Life and Work, pp. 78-79. "In his letters to Berg, Reich defines a complementary series as a row whose inversion is identical to its retrograde." Hall, "Progress of a Method", p. 2.

Hall describes Reich's letters[41] as "filled with excitement about the properties he is discovering in complementary rows":[42]

> The most important of these, he believes, is that the entire series can be derived from only its first six pitches. Reich refers to these pitches as the "determining tones" of the series and notes that if one presents only five, or four of these determining tones, the rows they imply become progressively more ambiguous. One could use this property, Reich states, to create a sort of pivot area "which makes modulation between closely related twelve-tone rows possible."[43]

Berg replied in a letter of 4 September 1929:

> 'How far these complementary series are musically significant is a question that I cannot decide very quickly. In any case, if you could derive from them, so that something tonal (or let's say, something of the rules of the old tonality) is included in twelve-note composition, that would be a great gain for the musical side.'[44]

In letters, dated 20 and 21 September, Berg informed Reich about two sorts of complementary series, which could be used "if, in a work of several hours like an opera, one believes that a single series is not sufficient, or at least for the sake of a change."[45]

On 20 September, Berg wrote to Webern:

> My present work is not progressing well at all. There are days where I don't feel up to the task, I suppose with regard to "row" composition. I believe, however, recently

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[41]They form part of the Alban Berg Nachlass, in the Musiksammlung of the Österreichische Nationalbibliothek, and date from October 1928 to 1935. Hall, "Progress of a Method", p. 2, n. 5.

[42]Hall, "Progress of a Method", p. 2.

[43]Reich's letter to Berg, 30 August 1929, as cited by Hall, "Progress of a Method", pp. 2-3, n. 6.

[44]Reich, The Life and Work, p. 79.

[45]Ibid.

> to have found a solution to the problem of making o n e row suffice for a work which lasts several hours. (Apart from the various forms which I had already derived for it long ago.)[46] You'll see what I have discovered from the enclosed sheet of staff paper.[47]
>
> From the mathematical point of view it is obvious. But in the musical practice of row composition, it is something that perhaps no one has yet discovered and that -- as I've said -- can be applied to every twelve-tone row.[48]

Reich's reply to Berg, 25 September, gives more details about Berg's discovery:

> Thank you very much for your dear postcard, which provided me the complement to your newly developed discovery of the Bergian rows B5 and B7 that I had so longed for. Namely the musical explanation, since the mathematical is only of secondary importance to a musician, interesting as it also perhaps might be. It's also rather remarkable how the whole thing shapes up when you use one of my complementary rows as the original row. Then the inversions play sundry parts and the circle already closes with a first degree relationship. I've worked out several things on the enclosed piece of staff paper. There's still more to be shown.
>
> A universal property of every B5 and B7 is the following: in the former is every third, in the latter every second tone identical to the original row.[49]

In 1984, Hall discovered Reich's "enclosed piece of staff paper" at the Österreichische Nationalbibliothek, amongst Berg's Lulu sketches, i.e. a row sketch showing what properties result when B5 and B7 operations are applied to Reich's complementary series:

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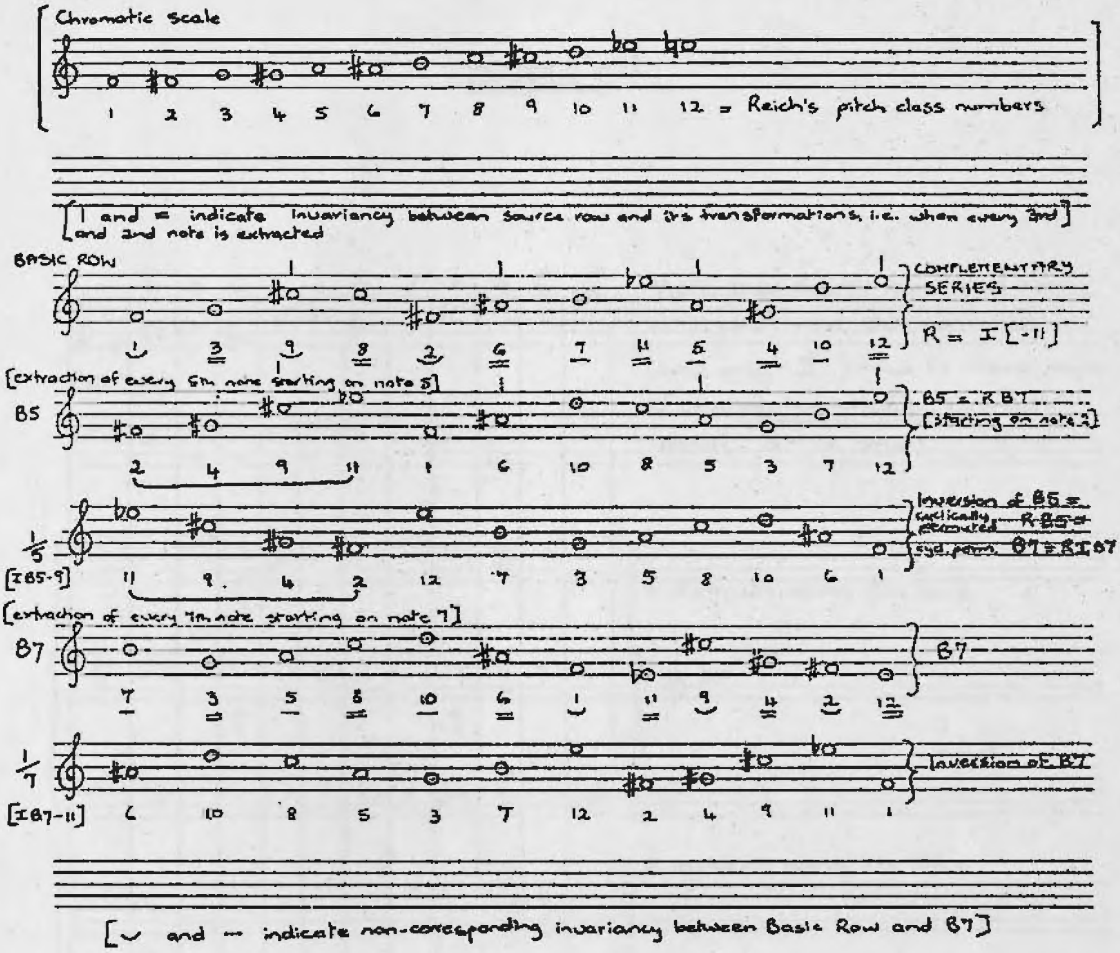
[46]See Tables 2 and 3 above, and Berg's letter to Schoenberg (1 September 1928), p. 18 above.

[47]Reportedly lost. Hall, "Progress of a Method", p. 1.

[48]Handschriftensammlung, Wiener Stadt-und Landesbibliothek I.N. 185.704 fol. 3-4, as quoted in Hall, "Progress of a Method", p. 1, n. 1.

[49]Hall, "Progress of a Method", pp. 4-5.

EXAMPLE 5[50]



The main property of the source row is retained, i.e. its retrograde is equivalent to its transposed inversion (I-11). The retrograde of B5 is identical to a cyclically permuted (c.p.) B7; therefore I B5 = c.p. R B5 = c.p. B7 = c.p. RI B7. Every third note of B5 and every second note of B7 are identical to every third and second note of the source row, respectively.

A Lulu sketch shows that Berg originally generated B5 and B7 in the same

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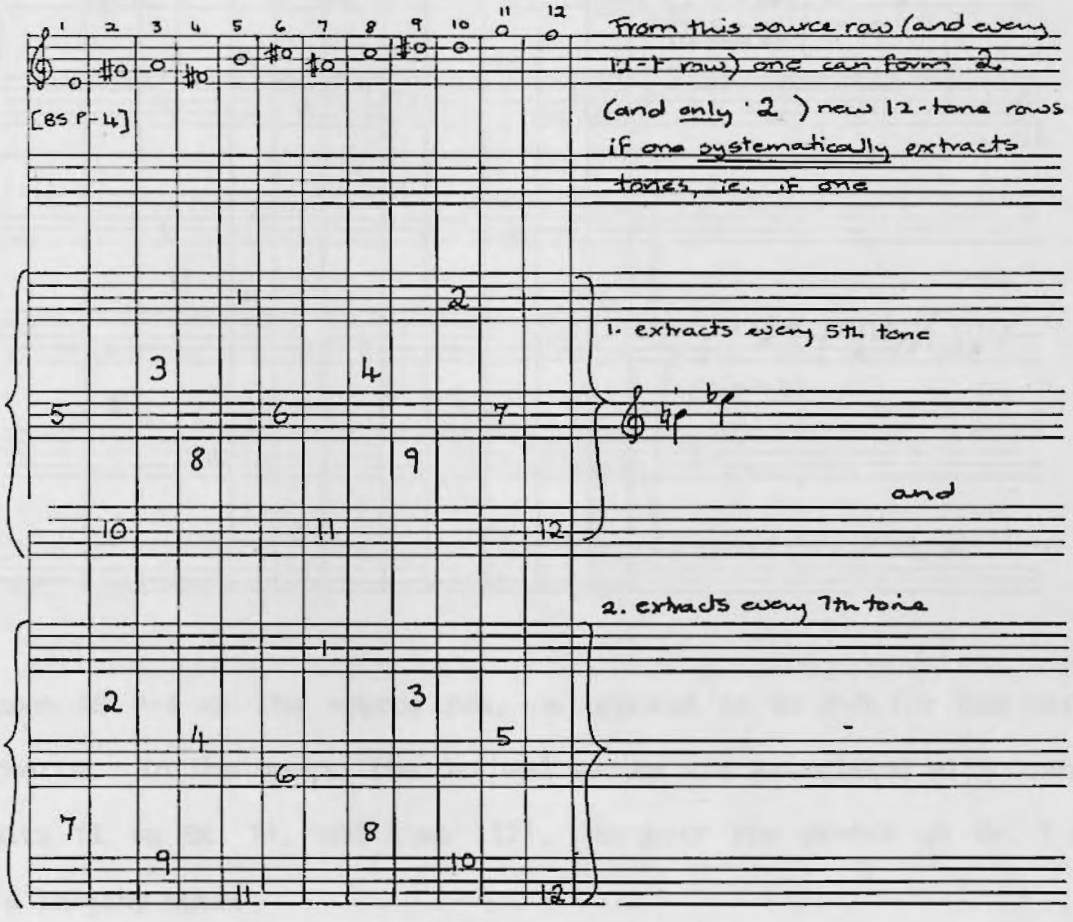
[50]Author's transcription of Hall, "Progress of a Method", Fig. 1 (ÖNB Musiksammlung F21 Berg 28/XL fol. 7). The translation is based on Hall's text (p. 6); similarly for the next two Exx. 6 and 7.

way as Reich, i.e. starting on the fifth and seventh note of the source row:

EXAMPLE 6[51]



The row permutations employed in Lulu, however, retain the first note of

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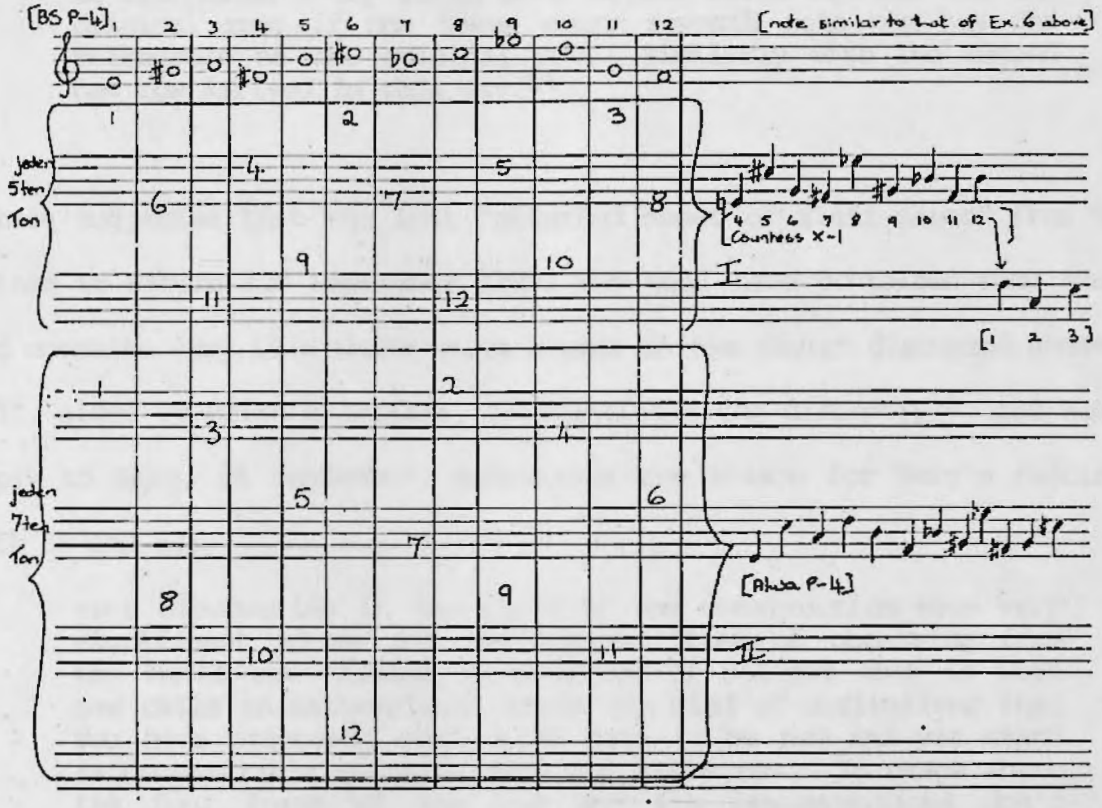
[51]Author's transcription of Hall, "Progress of a Method", Fig. 2 (ÖNB Musiksammlung F21 Berg 28/xxiii).

the BS before systematically extracting every fifth and seventh note:

EXAMPLE 7[52]



Berg uses BS P-4 as the source row, as opposed to BS P-0 for his earlier Lulu charts. In the opera, the derived series are associated with Countess Geschwitz (I in Ex. 7), and Alwa (II). Beneath the sketch of Ex. 7 Berg wrote a lengthy note:

> With every other row derivation of this type (whether one extracts every second, third, fourth or sixth tone) rows with fewer (up to two) tones are formed, because sooner or later the tones begin to repeat. If one extracts every eighth, ninth or tenth tone, the retrograde form of these 2-6 tone rows is formed. They are, therefore, unusable. While the other two rows (the only ones) are indeed completely new rows, they are still closely related to the source row. They are organically related to the former by the fact that when one extracts every eleventh note (which has not yet happened here) the retrograde of the source now is formed (naturally!). With that the circle is closed.[53]

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[52]Author's transcription of Hall, "Progress of a Method", Fig. 3 (ÖNB F21 Berg 28/xi fol. 1).

[53]Ibid., pp. 7-8.

The initial paragraph has been inserted below the above note:

> If one takes every fifth note of the first row one has the original row; if one takes every seventh note one has the retrograde of the original row. Similarly with the second new row derived in this way.[54]

Jarman suggested that the lost "attached sheet of staff paper" from Berg's letter to Webern (20 September 1929) may well have contained some examples and comments very like those which appear in the sketch discussed above.[55] Hall, aided by Reich's letters, substantiates the discovery[56] and Webern's reply to Berg, 28 September, summarises the reason for Berg's fascination with B5 and B7:

> Your discoveries in the field of row construction seem very significant to me for the possibilities of obtaining from the basic row through permutation (I believe that is what one calls in mathematical terms the kind of derivations that you have proposed) rows which seem to be new and yet stand in demonstrable relation with the basic row. In cases where the four forms of the row and its transpositions don't answer the purpose - as they clearly don't with you - to be able to obtain such thorough derivation seems to me to present possibilities for connections which have far reaching use ...[57]

"On the recto side of the ... sketch ... [Ex. 7], Berg works through every possible uniform pattern of extraction ..."[58] "up to that of every sixteenth note",[59] and explores their complementary relationships:

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[54]Douglas Jarman, "Lulu: The Sketches", The International Alban Berg Society Newsletter (IABSN) 6 (June 1978): 6.

[55]Ibid.

[56]Hall, "Progress of a Method", pp. 5-8.

[57]Jarman, "Lulu: The Sketches", p. 6.

[58]Hall, "Progress of a Method", p. 8.

[59]Jarman, "Lulu: The Sketches", p. 5.

EXAMPLE 8[60]

Extraction of every second, third, fourth and sixth note generates only 6 →2 tones before repeating, i.e. they divide evenly into twelve. Berg avoids pitch repetition by shifting to the next pitch when extracting alternate notes and every third note, and labels these rows "Rodrigo" (Acrobat) and "Hugenberg" (Schoolboy); hence Berg's note on the right hand side: 2 [1] break (V) and 3 [2] breaks, respectively.

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[60]Author's transcription of Hall, "Progress of a Method", Fig. 4 (ÖNB Musiksammulung F21 Berg 20/XI fol. 1).

In Der Wein (completed August 1929), Berg had already employed permutations of the Basic Row into three- and four-note chords, by extracting every second and third note, respectively, e.g. b.8-beg. b.9 (pf score) : the right hand has the four three-note chords, C$^{5}_{3}$, ② (B♭-D♭-A♭), diminished triads on B and F♯, derived from I-5 by extracting alternate notes, against the first seven pitches of P-0 in the left hand; in b.11, end 1st beat-end 2nd beat, three fourth chords are formed by extracting every third note from I-2 : ① (F♯-B-E+F), ② (G-C-A-D) and ③ (A♯-D♯-G♯-C♯).

On the lefthand side of the sketch (Ex. 8) near B5 and B7, Berg wrote, "Richtige neue Reihen", i.e. permutations requiring no breaks in the cyclic pattern.

In a letter to Berg, 21 September 1929, Reich commented on "higher connections", existing in Berg's new transformations:

> The reason that only the fifth, seventh and eleventh pitches work seems to be that 1+11 and 5+7 are the only pure prime numbers for 12, moreover: 5+7+11 = 23.[61]

Berg regarded the number 23 as his fate number (Schicksalszahl).[62] The derivation of B5 requires five statements of the BS and that of B7, seven statements; in the opera, number 23 is associated with Alwa and number 5 with Geschwitz.[63]

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[61]Hall, "Progress of a Method", p. 4.

[62]See Jarman, The Music, pp. 225-226, 228-230. Number 7 can also be associated with Alwa, the composer of Wozzeck, Op. 7 (see later Recitative-review in Act I/3).

[63]See Stenzl, "Lulus 'Welt'", pp. 33-34. Moreover, Berg's centenary year, 1885, can be interpreted as 1+9+8+5 = 23.

Hall also discovered the origins of one of the chief characters in Lulu, viz. Dr. Schön:

> There is, ... a separate sketch of the derivation of Dr. Schoen's row written (like the two previously cited sketches) on 18-stave paper. Since there are only four leaves of 18-stave paper among over 700 leaves of Lulu sketches, we can safely assume that these sketches were completed at about the same time.[64]

Berg also derives Schön's row by a method of cyclic omission, i.e. according to the palindromic pattern:

1 2 3 3 2 1 1 2 3 3 2 1:

EXAMPLE 9[65]

In his letter to Schoenberg (1 September 1928),[66] Berg already seemed to anticipate possible construction of "new" rows, "reordering" and adaption to "what Fate may have in store ..."

The new technique of systematically extracting notes from successive statements of the BS evolved because the earlier method of rearranging or selectively grouping notes from a single statement of the BS proved

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[64]Hall, "Progress of a Method", p. 9, n. 16.

[65]Ibid., Ex. 4.

[66]See p. 18 above.

restrictive. The later method provided the necessary thematic variety to distinguish characters musically, to build larger sections and to meet the challenging length and dramatic requirements of the opera.[67]

Thanks to Hall's invaluable contribution, the evolution of Berg's 12-tone technique can be accurately traced in Lulu.

With Berg's words, "... I have already composed over 300 measures ..." (letter to Schoenberg, 1 September 1928) as evidence:

> ... one might expect a detectable break in his compositional method when he began incorporating the new rows derived by the 1929 method. The particell and early drafts for Act I, scenes 1-2 do, in fact, show clearly where the break took place. Moreover, Berg's penchant for writing drafts of letters while he sketched allows us to date the break fairly accurately as September 1929.
>
> F21 Berg 28 XXIV [ÖNB Musiksammulung] includes an early draft of the first two scenes of Lulu (through ca.m.520). Near the end of this draft appear several lines from a letter with the date September 30, 1929. This date, according to Berg's Tagebuch for 1929, was the day that he left his summer residence for Vienna, and we know from various letters that Berg did not work on Lulu again until the summer of 1930 (see, for instance, Berg's letter to Schoenberg from July 22, 1930).[68]

In this letter to Schoenberg, Berg wrote:

> (...) Ich habe - nach 10 monatiger Pause - hier gleich an der Lulu" zu arbeiten begonnen, und bin ziemlich rasch in Schwung gekommen (...)[69]

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[67]Hall, "Progress of a Method", pp. 10-13. Her transcriptions of Lulu's Particell (I/1 b.118-124 ÖNB F21 Berg 29/I fol. 12), with and without the later grafted passages (Exx. 6 and 7), demonstrate how "Schoen's personality suddenly comes to life". His Sonata is based on the development of his Series.

[68]Ibid., p. 11 and n. 19.

[69]Ernst Hilmar, "Alban Bergs Selbstzeugnisse zu Entstehung und Aufführbarkeit der Oper 'Lulu'", in The autograph "Lied der Lulu" facsimile edition (Vienna: Wiener Stadt-und Landesbibliothek, 1985), p. 13.

"The music of Lulu, from Alwa's tentative "May I come in?" [b.86] at the opening of Act I, scene 1, to Dr Schoen's stormy entrance in the following scene (m.530) derives entirely from the earlier method. The two exceptions, Alwa's row [P-7] in mm.98-99 [vocal line] and Dr Schoen's row [P-6] in mm.119-123 [solo vc, and near end also in vocal line], are not present in the earlier drafts; it is only in the finished particell that they appear, and one can see from the overlay where they have been grafted onto the original."[70]

Regarding Schön's grafted row, Berg added the comment, "... mit der deutlicher Absicht ... abzulenken" ("with the clear intention of diverting", b.119), and below the start of Schön's P-6 (end b.119), he wrote: "(der Gewaltmensch!)".[71]

Another exception in the music derived by the earlier method, is Schön's P-4, b.523-beg. b.524 (I/1), in asax (notes 1,9,10,12), enghn (2,5,6,7,11) and ob 1 (3,4,8). His Series seems to emerge from Schigolch's serial Trope, T-O, i.e. note 1 doubles the final note of unordered Y in va, and note 2 doubles the second note of Z in vn 2; the statement of Schön's notes 1,9,10,12 (asax) can also be interpreted as Y of Schigolch's T-O, notes 2,5,6,7 (enghn) as unordered Z, and 3,4,8,11 (ob + enghn) as unordered X. This unfolding is dramatically significant because it anticipates the replacement of Schigolch and his Nonet by Schön and his Sonata (b.533).

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[70]Hall, "Progress of a Method", p. 11.

[71]Ibid., Ex. 7. Later in the opera, the Painter describes Schön as "ein Gewaltmensch" (start of Act I/2, during the spoken dialogue), when he cannot understand Schön's delay in getting engaged.

Due to the cryptic nature of Berg's letters and discarded early sketches, many Lulu analysts failed to recognise the evolutionary nature of the later cyclic technique, e.g. Carner's comment on Berg's letter to Schoenberg (1 September 1928):[72]

> I believe that this gives in a nutshell the various novel ways in which Berg treats the basic series in Lulu, aiming to enlarge its thematic potential by altering the original sequence of the twelve notes, or using only segments of it independently, or rotating the series and choosing certain notes at regular distances to derive new series.[73]

Reich's basis[74] for later analyses, e.g. by Carner and Redlich, provides no hint of a chronological distinction between the two derivational methods and his BS P-O commences with B♭;[75] no reference is made to the Acrobat's Series or the Schoolboy's serial Trope.

Perle and Jarman, too, make no distinction between the two derivational methods. The transposition levels for later rows, e.g. those belonging to Schön and Alwa, change between Perle's earlier work on Lulu[76] and his most recent.[77] Jarman's description of the Lulu sketches[78] indicates that he

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[72]Hall, "Progress of a Method", p. 12.

[73]Mosco Carner, Alban Berg. The Man and The Work (London: Gerald Duckworth & Co., 1975), p. 205.

[74]The Life and Work, pp. 161-164 and "Alban Berg's Lulu", pp. 394-396.

[75]Berg's derivation sketches I and II, for Reich, are based on BS P-10 (i.e. starts on B♭). See Reich, "An der Seite von Alban Berg", pp. 37, 39.

[76]"The Music of Lulu : A New Analysis", Journal of the American Musicological Society (JAMS) 22/2-3 (Summer-Fall 1959): 185-200, and "Lulu: Thematic Material and Pitch Organization", Music Review (MR) 26/4 (November 1965): 269-302, which served as a basis for Jarman's list of motives in The Music, pp. 85-86, Ex. 109.

[77]The Operas Vol. 2, Chapter 4.

[78]"Lulu: The Sketches", pp. 4-8.

was aware of Berg's BS P-O starting on E and he retains this starting point for their Series in his book on Berg, but begins their respective inversions on A and extracts the Acrobat and Schoolboy's sets from BS on C.[79]

As regards the set-form designation for BS P-O, Hall wrote:

> I cannot tell from the sketches whether, in fact, he [Berg] ever establishes a P-O. On the 1927 row chart he writes that P-9 (=A) is the "Hauptreihe". When he derives the cyclic rows from 1929 he uses BS P-4 (E). I prefer Perle's solution to the whole matter. He simply labels the rows with no connotation as to their relative importance, i.e. BS on C = P-O; C♯ = P-1, etc. If Berg establishes any sort of hierarchy, it will not be as "systematic" as one might expect.[80]

Scherliess[81] does not mention rows for Schön, Alwa, Geschwitz, the Schoolboy and Acrobat; he claims that Reiter did not know of the early chart's existence when writing his dissertation, Die Zwölftontechnik in Alban Bergs Oper LULU (Regensburg: Gustav Bosse Verlag, 1973).

It is suggested that the actress Edyth Edwards, whom Berg met at Hofgastein Baths during the winter holidays of 1932, may have influenced changes to the 1927 row tables, but evidence to support this remains inaccessible as his letters to her until his death, are in private hands.[82]

Lulu was dedicated to Schoenberg on his sixtieth birthday, 13 September 1934. In his dedicatory letter, 28 August, Berg wrote:

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[79]Countess Geschwitz's Series and Trope will be dealt with later.

[80]Letter to the author, 22 June 1985.

[81]"Alban Bergs Tafeln", pp. 452-464.

[82]Alban Berg ÖNB Exhibition Catalogue, pp. 100-101, no. 267.

> My dearest friend!
>
> I know that in answer to my - to Alwa's question 'May I come in?' (the first words of the opera Lulu after the curtain rises) you would answer with Schön 'Just make yourself at home', and that then I would put into my embrace all the feelings that fill my soul on this 13th September. That - the fact that I can only do this from a distance - is one thing that pains me this day. Another pain is that I cannot approach you with a real present, but only with a dedication. Please accept it, not only as a product of years of work earnestly undertaken for your sake, but also as a documentation of my innermost conviction, as a document for all to see. The whole world, and the German world too, shall recognize in the dedication of this German opera that it is indigenous in the sphere of the most German music, which will bear your name for time everlasting.
>
> A third pain: that I cannot lay the score of the whole opera at your feet, but only a fair copy of the opening. But the formula 'to write down' applies unfortunately to Lulu too ...[83]

Prologue (b.1-85)

The Animal Tamer's Prologue serves as an introduction to Lulu and summarises the entire work. It was written in 1934 and contains all the later row forms. An earlier version exists (dated 23 June 1928), but includes none of the later rows.[84]

The Prologue is opened by trbns, with a fanfare-like, ascending statement of BC I at primary[85] pitch level:[86]

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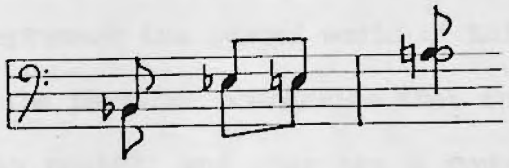
[83]Sketch letter, first and second paragraphs, quoted in Reich, The Life and Work, p. 177, n. 21.

[84]Hall, "Progress of a Method", p. 18, n. 19.

[85]See Jarman, "Countess Geschwitz's Series: a Controversy Resolved?", Proceedings of the Royal Musical Association 107 (1980-81): 116-118.

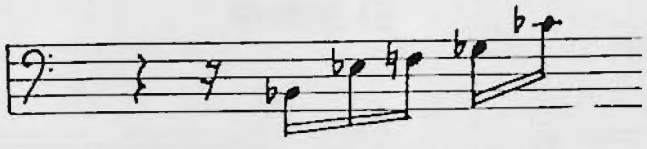
[86]Which spans Alban Berg's initials and contains those of Schoenberg. The same pitches appeared in the second song of Op. 4 to accompany "wit-ter-re-gen" (b.2, E♭,B♭,A,E) and its repeat (b.10, imitated by two solo vcs), i.e. a transposed inversion of BC I.

EXAMPLE 10



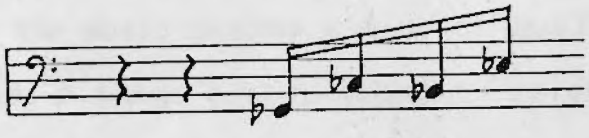
followed by an ascending flurry of Basic Cell II[87] (BC II):

EXAMPLE 11



overlapped with BC I variants:

EXAMPLE 12



in bcl, bns, vc db → cls and vn 2.

Perle gives a general definition of the term basic cell:

> The integrative element is often a minute intervallic cell, which may be expanded through the permutation of its components, or through the free combination of its various transpositions, or through association with independent details. It may operate as a kind of microcosmic set of fixed intervallic content, statable either as a chord or as a melodic figure or as a combination of both. Its components may be fixed with regard to order, in which event it is employed, like the twelve-tone set, in its literal transformations: prime, inversion, retrograde, and retrograde-inversion. (Where it is stated as a simultaneity the order is not generally defined, so that only "prime" and "inversion" are meaningful terms.) Individual notes may function as pivotal elements, to permit overlapping

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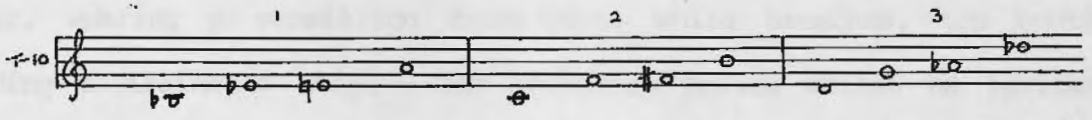
[87]Perle's designation in The Operas Vol. 2, p. 87.

statements of a basic cell or the linking of two or more basic cells.[88]

BC I, II and III[89] "represent the staged world of Lulu's drama: they are a musical counterpart to the physical boundaries that frame that staged world [e.g. serving as curtain music], and they are a symbol of the enchantment and fatality that attend its protagonist."[90]

A BC I aggregate or Trope I[91] T-10:

EXAMPLE 13



evolves with the addition of segment 3 in hns (end b.2-beg. b.4), segment 2 in tpts (mid. b.3-beg. b.4) and reiteration of segment 1 in trbns and vc (end b.3-mid b.4). The music reaches a peak of oscillating fourths and harmonic tritones (mid. b.4-beg. b.5) to accompany the clown's[92] appearance in front of the tent-entrance-like curtain. He carries a large fair drum with attached cymbal.

BC III descends in the form of its aggregate, Trope II (b.5-beg. b.6), with segment 1 in cls, doubled and extended by right hand pf and vn 1 → bcl and first desk vc; segment 2 in hp, doubled by fls and va → bn 1 and second desk vc; and segment 3 in bn 2 (also bn 1 initially) and the rest of vc, doubled by left hand pf.

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[88]Ibid.

[89]The origins of BC III were described earlier. See p. 17 above.

[90]Perle, The Operas Vol. 2, p. 87.

[91]Term adopted from Perle, "Thematic Material and Pitch Organization", p. 275.

[92]The clown is absent in Wedekind's plays.

The sequence, Trope I, II is reversed at the conclusion of the Prologue: an ascending Trope II unfolds between the Animal Tamer's rhythmic "Ver-ehr-tes Pu-bli-kum" (b.80) and "Her-ein-spa-ziert!!" (b.82). The fourths and tritones (from b.4-beg. b.5) are sustained and extended (b.82-83). The descending BC I and retrograded BC II/RBC II (end b.83-beg. b.85) condense the ascending BC II and I (from b.2-beg. b.4), and a Hauptrhythmus (RH) on the pitches C-E is added to the initials B,A (b.85).

The clown's cymbal and bd stroke announces the entrance of the Animal Tamer, wearing a vermillion frock-coat, white breeches, top boots and holding a trainer's whip. The orchestra pauses whilst he invites the audience into his tent to view his menagerie of "soulless creatures tamed by human genius".[93] His vocal delivery is normal speech, except for his rhythmic "Her-ein" opening and "mensch-li-che Ge-nie" conclusion.

The orchestra's Circus Music[94] (b.9-16) accompanies his claim (Sprechstimme) that "Lust-und Trauerspielen" (comedies and tragedies) can only show domesticated animals, "Wie jene andern unten im Parterre" (just like the others below), i.e. the audience and orchestra.
From b.9-beg. b.11, vn 1 repeats the first three notes of BS P-O, i.e. until the doubling of "Haustiere" pitches and note 4 (D). The latter, together with B♭ (note 10) in hn 2 and va, anticipates Painter Dyads P-O in cls and vn 1 (end b.11-mid. b.13 : 10-4, 11-5, 12-6, 1-7, 2-8, 3-9, 4-10, 5-11, 6-12; the repeat of the last two Dyads is reinforced by ob and enghn). The first two notes of BS P-5 form a rhythmic fate motive-

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[93]Unless indicated otherwise, the libretto's translation is based on Perle, The Operas Vol. 2, pp. 42-57, and Arthur Jacobs, English translation of Libretto, Lulu, by Alban Berg, with Teresa Stratas, Yvonne Minton, Hanna Schwarz, Franz Mazura, Kenneth Riegel, Toni Blankenheim, Robert Tear, and Helmut Pampuch, cond. Pierre Boulez, Orchestre de l'Opéra de Paris, Deutsche Grammophon, 2740 213, 1979, pp. 26-69.

[94]See Perle, The Operas Vol. 2, pp. 143-146.

oscillation in bns, dbn and db (b.9-beg. b.12), followed by notes 2-7 in bns and dbn, with note 6 repeated in trbn 1 and vn 2; note 8 (C♯) appears in cl 1, vocal line and vn 1, and after doubling note 6 initially, vc completes the Series with 9-12.

The final Painter Dyad from BS P-O (mid. b.13, vn 1) becomes notes 1 and 2 of BS P-9, which continues (4-12 plus repeated 11,12) in upper vn 1, vocal line (up to note 11), ob and cl 1 until b.16. This is doubled by notes 10-12, 1-6 in lower vn 1 ⟶ va, enghn and cl 2, to form Painter Dyads P-9 (until beg. b.16); this was initiated by Dyad 3-9, between trbn 1 and bn 1 doubled by bcl (final beat b.13-beg. b.14; hns and vn 2 repeat this Dyad in b.14).

Consequently, the Painter is associated with the Animal Tamer's description of domesticated animals. Berg's first page of the typescript to Lulu's libretto, emphasises "H a u s t i e r e" by spacing the letters.[95] In the following two scenes of Act I, the Painter indeed proves unfamiliar with "Das w a h r e Tier, das w i l d e, s c h ö n e Tier" ("the true beast, the wild, beautiful beast").

Painter Dyads P-9 are briefly recapitulated (b.77-beg. b.79) in cls, doubled by enghn and asax and in part by bns, hns, vocal line and vns.

The Animal Tamer's vocal line (b.9-beg. b.12) is set ot Alwa's P-9; the fate motive-oscillation therefore also constitutes notes 1 and 2 of his

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[95]Ibid., Plate 12.

Series. The first hexachords of Alwa's P-9 and BS P-0 share five common pitches, A,F,D,G,E, two of which bridge Alwa's first and second hexachords (beg. b.11), i.e. notes 2 and 4 of BS P-0 or 5 and 3 of Alwa's P-9.
Viola's initial pitches in b.9 and their repeat in b.10, could be interpreted as notes 1,3,2 of Alwa's P-4, which also demonstrates five-pitch invariancy with BS P-0.[96]
The recapitulation of these bars, near the end of the Prologue (b.73-75) transposes the Animal Tamer's vocal line to Alwa's P-4 (1-7, four-note bridge containing E,D, and 7-12); asax and enghn also have a complete statement (b.74-75). A variant of the rhythmic fate motive (bns and timp b.73-2nd beat b.74) is transformed into a tremolo (at identical pitch) until end 1st beat b.76, i.e. another motive symbolising destiny, to mirror the fate-oscillation (b.9-beg. b.12).

The presence of Alwa's Series in the Animal Tamer's vocal line, identifies the latter as Berg and Alwa's mouthpiece, just as he was for Wedekind and the writer Alwa.

Corresponding hexachordal invariancy, between BS P-9 and I-6,[97] determines the choice of BS I-6 (7-12, 1-7) in trbns 1.2 (end b.16-18); the initial notes 7 and 8, doubled by the Animal Tamer, are also a further repeat of 11 and 12 of BS P-9. The Animal Tamer doubles the first hexachord of BS I-6 and retrogrades BC II in b.19, against notes 8-12 in trbns. The latter evolves into the verticalisation of Schön's P-4 (7-12, b.20-beg. b.22) : 7,8 (hns 1.2), 9 (trbn 3), 10 (trbn 2), 11 (bns, btuba), 12 (trbn 1), thus

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[96]Ibid., p. 96, Ex. 44.

[97]Indicated by ※ in the row tables (Appendix B).

illustrating maximum hexachordal (five-note) invariancy between these Series; the Animal Tamer unfolds 9,10,12,7,8 (b.20).

The clown strikes the cymbal and bd (b.20) and the Animal Tamer, progressing to parlando gesungen, commences with a description of his beasts:

1. "den T i g e r" is identified as "der Gewaltmensch", Schön, by his tiger-like P-4 in vc (end b.20-b.22, notes 1-7 with a leap of just over two octaves between 5 and 6), completed by asax, doubled mostly by vn 2 (b.23-beg. b.24). Notes 11 and 12 of Schön's P-4 in the vocal line, doubled mostly by hns (b.20-beg. b.23), initiate the following I-O, which is continued until note 10 and completed by dbn and btuba (8-12, end b.23-24); the tiger-like form of I-3 (1-5) occurs in va, doubled mostly by hns (b.22) and db has the leap (5,6) which retrogrades that of P-4 (A♭,B).

   The palindromic counterpart of this passage (b.64-65), presents Schön's P-1 (1-4) in vc until beg. b.65; the Animal Tamer enharmonically converts note 10 of BS P-O into note 3 and completes Schön's P-1 (b.65, notes 4-12) to "Doch warten Sie, was später wird geschehn:" .... the tiger (Schön) pounces in Act I/2 - his prey (the Painter) commits suicide - and is ready to kill (Lulu) in Act II/1.

2. "Den B ä r e n" is musically identified as the Acrobat, i.e. by the first three notes of his P-10 in the vocal line (b.24-1st beat b.25) and by his P-4 (2-12) in bcl and bns (b.24-beg. final beat b.25), with notes 1 and 2 in dbn and btuba (notes 11 and 12 of Schön's

I-O). His greediness causes him "zu Boden sinkt" (end b.26-27) in Act III/1, when Schigolch disposes of him.

The score's list of Personen doubles the role of "Rodrigo, ein Athlet" (Acts II and III) with that of the Animal Tamer (Prologue). According to the Lulu sketches:

> Berg seems to have changed his ideas about the importance of the character of the Athlete during the course of his work upon the opera and only at a relatively late stage did he decide to relegate him to the stature of a secondary character by omitting his proper name from the score.[98]

Perle supports Arthur Jacobs' note to his translation of the libretto: "For the German 'Athlet' the English 'acrobat' has been preferred as conveying better than 'athlete' the idea of a professional showman."[99]

Lulu informs Schön that "Er ist Akrobat", in Act II/1, (b.384-beg. b.385).

- The acrobatic "white-and-black-note" piano clusters (r.H. l.H. / r.H. l.Unterarm), associated with him, were already heard at the end of the Circus Music (b.16) and recur at the end of its recapitulation (b.79); those of b.27-beg. b.28 retain the "white-black-note" dichotomy. They symbolise his profession as acrobat and his connection with the Animal Tamer and circus.

3. "den ... A f f e n" is accompanied by the music representing the triple role of the Prince (Act I), Manservant (Act II) and Marquis (Act III), e.g. P-5 (1-11) in cl 1 (b.28-31) which supplies note 1

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[98]Jarman, "Lulu : The Sketches", p. 7.

[99]Perle, The Operas Vol. 2, p. 61, n. 44.

to the cyclically permuted P-5 in solo db (b.28-beg. b.29); solo str unfold three more statements of P-5 (b.29-31, ending on note 11), and the vocal line's presentation portrays the text. The derivation of this Series will be illustrated during the Prince's Chorale (I/3).

4. "ein K a m e l" is accompanied by two statements of BS I-9 (mid. b.31-beg. b.34, in ob → enghn, doubled by upper hp, and bn 2 → lower hp → vocal line); the sustained F in vc (b.32) supplies note 2 of the second statement and the sustained G in bcl (b.33) supplies enghn with note 4.
Perhaps the camel, with its resevoir of water to survive desert-life, depicts the resources of the BS to represent the dramatic events in store for the audience; RBC II in va (b.31-32) adds further mystery to the Animal Tamer's tent-contents.

5. "das Gewürm" is not emphasised in Berg's typescript of the libretto, but is depicted by Schigolch's creeping, chromatic Trope, e.g. X, Y and Z of TI-6 in the vocal line and hp (b.34-beg. b.36) with the missing, final A♭ in pf (2nd beat b.36); Y, Z, and X (twice) of TI-9 in dbn and db (end b.33-beg. b.34); bn 1, doubled by va (2nd ♪ b.34-mid b.36), have RX of TI-9, RZ of T-2, Y of T-10, Z of T-7, Y of T-3 and RX of TI-2; bn 2 and vc have Y of T-1, Z of T-10 and Y of T-6 (b.35-beg. b.36); and pf and asax present X of T-1 and T-4 (b.35-beg. b.36) and RX of TI-9 (end b.36-beg. b.37).

6. "Reptile, Molche" are identified with the triple role of the Medical Officer (Act I), Banker (Act III/1), and Professor (Act III/2). Variant ① of P-7 accompanies these words: the major third (11-5) is

sustained in vn 1 (b.36-37), against the remaining adjacent dyads in trbns (1-2, 4-3, 7-6, 8-9, 10-?12),[100] bridged by perfect fourth dyads to variant ① of I-5 (2-1, 3-4, 6-7, 9-8, 12-10, 2-1) in b.38, with sustained B♭-D (5-11) in vc.

7. "das Krokodile" introduces the music of Countess Geschwitz (b.39-41),[101] with her characteristic accelerando-ritardando in the perfect fifth oscillation of timp, pf and db.

The Schoolboy (ein Gymnasiast)[102] is musically referred to, although he is not specifically identified with one of the beasts; segments ① , ② and ③ of his serial Trope T-O occur in bns, hns and vc (b.26-end 2nd beat b.27).

Suddenly, the Animal Tamer calls to August to bring out "unsre S c h l a n g e" (b.42-43 : Lulu's P-3, notes 1-8). This is accompanied by the ascent and descent of Basic Cell IV[103] (BC IV) in pf:

EXAMPLE 14

In the opera, BC IV "serves primarily as a cadential detail".[104] Here, it is initially set to a diminished version of the rhythmic fate motive:

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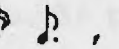
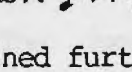
[100]Possible error of A♮ instead of A♭; the vocal score is the same.

[101]See p.89 below.

[102]Berg omits Wedekind's proper name, Hugenberg.

[103]Perle's designation. See The Operas Vol. 2, p. 91.

[104]Ibid.

 , doubled by the triangle; the hp sounds its source on C♯ (b.42-43):  . The cadential quality of this passage is underlined further by the isolation of Lulu's cadential element, i.e. notes 9-12 of Lulu's P-3 in fls, vib and vn 1 (mid. b.43-44), and double barlines. Its recapitulation (b.66-beg. b. 68) transposes BC IV and inverts Lulu's Series (I-11), to accompany her return to the tent.

The clown's cymbal-bd stroke announces Lulu's Entrance Music (b.44-62).[105] Lulu, dressed in Pierrot costume, is carried out by a big-bellied stagehand and placed before the Animal Tamer. He introduces Lulu to the audience:

> Sie ward geschaffen, Unheil anzustiften,
> Zu lokken, zu verführen, zu vergiften
> und zu morden, ohne dass es einer spürt.
> (She was created to instigate harm,
> To allure, to seduce, to poison
> and to murder without leaving any trace.)

Lulu's Entrance Music consists of:

1. <u>triads</u>

   C^{5}_{3} (b.44-mid b.45, vc+db, doubled initially by lower ww and hp) against $F\sharp^{6}_{4}$ (evolving from Lulu's cadential element in vns and va) and $B\flat^{6}_{3}$, ⟶ F^{5}_{3} (build-up in str doubled by hp, 2nd half b.45), which is sustained and arpeggiated until b.48 against g♯ minor in vns, va and hp (b.46-mid b.47, also in vocal line as notes 2,4,6 of Lulu's P-6 and continued melodically by vn 1 until mid. b.48); a^{6}_{4} occurs, mid. 2nd half b.47, in vn 2, va, vc and hp - the latter two are unfolding melodic c♯ minor and F major, respectively; vc, doubled mostly by upper vn 2 (b.48), has melodic F♯ major and the augmented triad D-B♭-G♭, whilst the vocal line's 9,10,12 of Lulu's P-6, sound melodic B♭ major (as indicated in Berg's early row chart,

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[105] Ibid., pp. 69-70, 135.

no. 5) to support that in str; and $e\overset{5}{3}$ is formed between bcl, vc and db (final beat b.49).

The conclusion of this tonal section (b.50-51) emphasises the harmonic-melodic arrangement with A♭ major (str+bcl against the arpeggio in pf) and f♯ minor (str+hn+bcl against pf).

The tonal elements return near the end of the Leitsektion (b.57-62).[106]

2. serial material

Lulu's P-6 in its snake-like form (b.46-48, vocal line, doubled later by ob → bcl) and I-3 (b.60-62)[107] - her twisted prefix is isolated for "zu verführen, zu vergiften" (b.51-52); Schigolch's TI-9 (2nd beat b.49-52 : db (Y) → vc (Z), with pitches of X in vocal line, b.50-51), and its tetrachordally-invariant counterpart, TI-1, end b.51-55 : vc (X, with added D♮ and accompaniment forming diminished triad D-F-A♭, beg. b.54) → va (Y) → db (last three notes of Z, whose missing F♮ is sustained in cls, b.54, and accented in the vocal line and pf, b.54-55), which leads up to the Animal Tamer's falsetto "spürt" (b.55), i.e. a preview of Schigolch's asthmatic vocal delivery; BS P-7 with ostinato on final three notes (b.52-55 : right hand pf, doubled by cl 1 → vocal line → cls+tpts); the cyclically permuted Schoolboy's T-4 (③, ①, ②) in asax and right hand pf (b.49-52) to anticipate Lulu's influence over him ("Zu lokken, zu verführen"); and the first hexachord sequence of Alwa's P-0/Schön's I-5, Alwa's P-10/Schön's I-3, Alwa's P-3/Schön's I-8 and Alwa's P-1/Schön's I-6 in the accompaniment,

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[106] See pp. 46-47 below for details.

[107] See p. 46 below.

b.56-59,[108] i.e. a hexachord per bar, e.g. b.56, with Alwa's P-O : harmonic 1 (cl 1, bn 1), 2 (cl 2, bn 2) and 3 (tpts), followed by harmonic 4 (cl 1, bn 1) 5 (cl 2, bn 2) and 6 (trbns), with a repeat of 1 (dbn, db). There is corresponding trichordal invariancy between Alwa's P and Schön's I forms, mentioned above.

The two overlapping statements of BC I in bns (b.55) portray the Animal Tamer's affection for Lulu; his address to her, "Mein süsses Tier" (final beat b.55-beg. b.56), doubles bns ⟶ bn 1 and contains a cyclically permuted BC I (F,F♯,B,C).

The text, "Die U r g e s t a l t des W e i b e s zu verstauchen" (Distorting the primal form of woman) is reflected by a distorted version of Lulu's inverted Series in vocal line and vn 1 (end b.60-mid. b.62) : I-3 (2,1,2), I-2 (3), I-3 (4-8), I-2 (9 with 10 and 12 sustained by vc; note 11 of I-3 is sustained by obs).

The B and F major triads (b.60 in vc+db, doubled by bn+dbn and hp) could be interpreted as Hanna Fuchs-Robettin's initials,[109] in b.6x10, i.e. a multiple of Berg's fate number for Hanna.

In a letter to her (4 December 1929), Berg mentions her initial-chords in Der Wein (b.138-141):

> Whom could it have to do with but you, Hanna, when I say, in 'The Wine of the Lover' : 'Sister, let us flee side by side, without rest or pause, to my land of dreams' - and these words die away in the most gentle B [H] major and F major chords![110]

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[108]Perle, The Operas Vol. 2, p. 138.

[109]Berg's friendship with her, during the final decade of his life, played a significant role. See Perle, "The Secret Program of the Lyric Suite", IABSN 5 (June 1977) : 4-12.

[110]Perle, The Operas Vol. 2, pp. 139-140.

The melodic g♯ minor, c♯ minor and E major triads in solo vn (b.57-59) anticipate the triadic elements in the accompaniment : C♯$^{6}_{3}$ in ob+cl+hn 1 +tpts (1st two beats b.61), doubled by vn 2, which is concurrent with d$^{6}_{4}$ in hns, evolving into the diminished seventh chord C-E♭-G♭-A (ww+brass, end b.61-mid b.62); the harp figuration (b.61-63), doubled by lower vc ⟶ upper vc ⟶ va+vn 1⟶ va+vc, contains melodic B♭ major, diminished triad G♯-F-D, d minor and the diminished seventh chord E♭-G♭-A-C.

An abbreviated version of Lulu's Entrance Music (b.68-72) includes Lulu's distorted Series (vn 1, doubled mostly by the vocal line, end b.68-70 : I-2 : 1,2, twice, I-1 : 3, I-2 : 4-8).
Ascending statements of BC I in hp and fls (b.71-74) reflect the Animal Tamer's pride in Lulu ("meinen grössten Schatz!", b.69-70). Earlier (end 2nd beat b.65-end 1st beat b.66, solo vc doubled mostly by bn 1), RBC II, flanked by BC I variants (C♯,G♯,A,E), underlined the Animal Tamer's reference to Lulu's attendant fatality.

The Prologue's palindromic design anticipates and reflects that of the whole opera (Lulu's ascent and descent) and its constituent Sextet (I/3, b.1177-1203) and Film Music (at the centre of the opera between Act II, Scenes I and 2). It can be outlined as follows: Diagram 1[111]

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[111]A modification of Jarman, The Music, p. 188.

DIAGRAM 1

BAR	MM & TEMPI	MUSICAL MATERIAL	TEXT	DRAMATIC ACTION	VOCAL STYLE
1-beg. 5	♩ = 80-90	Ascending BC I (Trope I) and BC II			
5-beg. 6		Melodic, descending BC III (Trope II)		Animal Tamer's entry	
6		Cymbal - bd stroke (Clown)		Announcing Animal Tamer's opening	
end 6-beg. 7			Herein ...		Rhythmic speech
8			... menschliche Genie		Rhythmic speech
end 8-beg. 9		Clown (cymbal-bd)			
9-16	Comodo ♩ = 70	Circus Music + pf cluster			Sprechstimme
9-beg. 12		Alwa's Series Rhythmic fate motive - oscillation			
13-beg. 16		Painter Dyads P-9			
end 20-mid.24		Schön's tiger-like Series	den Tiger		
42-beg. 44	Subito ritmico	Cadential passage	He, August!		Parlando
44-62		Lulu's Entrance Music		Stagehand enters carrying Lulu	Centre within double bar-lines
(68-72)		Lulu's Entrance Music (abbr.)		Stagehand exits carrying Lulu	
66-67	Subito ritmico	Cadential passage	Hopp, August!		Parlando
(64-65)		Schön, the tiger	Doch warten Sie ...		
(77-79)		Painter Dyads P-9			
73-76		Fate motive variant (tremolo)			
73-75		Alwa's Series			
73-79	Comodo ♩ =70	Circus Music + pf cluster			Sprechstimme
end 79-beg.80		Clown (cymbal - bd)		Announcing Animal Tamer's last words	
80			Verehrtes Publikum		Rhythmic speech
(82)			Hereinspaziert		Rhythmic speech
80-beg. 82		Ascending Trope II			
end 83-beg.85	♩ = 90-80	Descending Trope I and RBC II		Animal Tamer's exit	

Synopsis[112] of Act I

Scene 1 takes place in the spacious, meagrely furnished studio of the Painter. Lulu, in Pierrot costume, stands on the podium in the centre, holding a tall shepherd's staff; the Painter is painting her portrait. Schön is seated upon the tiger skin-covered ottoman, in his overcoat with hat in hand. His son, Alwa, a composer, arrives and is pleased to see Lulu. Alwa expresses a wish to engage her as his leading lady and invites Schön to his dress rehersal. Before they leave, Schön asks Lulu to convey his greetings to her absent husband, she sends hers to Schön's fiancée, whom she has never met, and Schön criticises the Painter's work (Recitative, b.86-131).

Left alone with Lulu, the Painter is unable to concentrate on his work. He approaches Lulu; she throws the shepherd's staff at him and hurries towards the door (Introduction to the Canon, b.132-155).

The Painter chases her around the room and eventually catches her (Canon, b.156-185).

He declares his love for her, calls her Nelly, and despite Lulu's correction, calls her Eva instead (Coda, b.186-195).

His attempt to kiss her is interrupted by her husband's arrival. The Medical Officer breaks down the door, sees them together and dies of a stroke. Alwa leaves to fetch a doctor (Melodrama, b.196-257).

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[112]The synopses here are based on the score of Lulu; Jarman, The Music, pp. 252-256 and Formal Structures, pp. 204-206; Reich The Life and Work, pp. 164-176; and Perle's Formal Design in The Operas Vol. 2, pp. 71-77.

Lulu's address to the Medical Officer's corpse reveals that he kept her under close observation during their marriage; her present concern revolves around her future (Canzonetta, b.258-283).

The Painter returns and is shocked by Lulu's lack of emotion, but concludes that she is simply a savage (Recitative, b.284-304).

The Painter asks Lulu whether she can tell the truth, what her beliefs are, and whether she was ever in love. Her replies to all his questions are intensifying repeats of "Ich weiss es nicht" (Duet, b.305-321).

As if awakening from a mesmerised state, Lulu asks the Painter what he wanted to know about her; the Painter, disgusted, tells her to go and change (Transition, b.322-328).

Left alone with the Medical Officer's corpse, the Painter admits his fear of such good fortune. He begs the Medical Officer to wake up, and prays for strength and spiritual freedom (Arioso, b.329-350).

Scene 1 is linked to Scene 2 by an Interlude (b.351-413), based on the Duet, Canon and Canzonetta.

Scene 2 takes place in an elegant drawing-room of the Painter's house. Lulu is now married to him. Her Pierrot portrait, in a brocade frame, hangs above the fireplace. The Painter brings in the morning post, containing news of another successful sale (Lulu as a dancer) and the announcement of Schön's engagement (Spoken dialogue, b.414-415).

Their domestic scene (Duettino, b.416-457) is interrupted by the arrival of Schigolch; the Painter exits to his studio (b.458-462). Schigolch is an old, asthmatic friend of Lulu's, who has come to request money, inspect her new home and husband, and generally reminisce. Lulu is thrilled to hear her name "Lulu" again. She complains about her life at home, where she feels like an animal (Chamber Music I, Nonet for ww,[113] b.463-530).

Schigolch leaves as Schön enters. Schön demands that their relationship ends, and is amazed that the Painter is unaware of her infidelity (Sonata exposition : Principal theme, b.533-553).

Lulu complains that the Painter is blind to her and himself. Schön reminds Lulu that he arranged two good marriages for her and he wants no further involvement in her life (Bridge, b.554-586).

His wish to marry into respectability is finally being realised and he forbids Lulu to visit, except when accompanied by her husband (Subordinate theme : Gavotte and Musette, b.587-614).

Lulu replies that Schön is the only man she belongs to. Only he has ever shown genuine concern for her wellbeing and she cannot forget this (Coda theme, b.615-624).

Their tempers flare as they argue about the points raised (Exposition reprise : Principal theme and Bridge, b.625-649, Subordinate theme, b.650-665, Coda theme, b.666-668).

113"... although there are also some string passages, mainly pizzicato, as well as a few bars for piano and percussion." Perle, "Lulu : The Formal Design", JAMS 17/2 (Summer 1964) : 180, n. 3.

The Painter appears and wants to know what is going on. Lulu exits. Schön informs him about Lulu's unfaithfulness and her past. He raised Mignon (Schön and Alwa's name for Lulu) and Schigolch is apparently her father; she never knew her mother. He suggests that the Painter exerts greater control over her. At first the Painter does not believe him. Unable to face the truth about Lulu, the Painter, under the pretence of going to speak to Lulu, exits and commits suicide. Alwa arrives amidst the commotion and helps Schön to break down the door. Lulu and Alwa discuss the Painter, while Schön calls the police. The latter is convinced that his engagement and public life is doomed. Lulu tells Schön that he will marry her yet (Monoritmica, b.669-957).

An Interlude, based on the Sonata, bridges Scenes 2 and 3 (b.958-992).

Scene 3 takes place in a theatre dressing-room. Unlike Wedekind, Berg has included Lulu's portrait in the form of a poster, which hangs on the back wall. Schön has arranged Lulu's appearance on stage as a dancer, in the hope that someone will marry her and ease his burden. Alwa has composed the music. While changing behind a folding screen, Lulu tells Alwa that the Prince is keen to marry and take her to Africa with him (Ragtime, b.992-1020).

When Lulu appears in ballet dress, Alwa is deeply affected. Lulu encourages him to relate his earlier impressions of her (Andante, b.1020-1040).

They celebrate with champagne and Lulu describes the impact of his music on herself and the audience (English Waltz, b.1040-1094).

When Lulu returns to the stage, Alwa considers composing an opera about her (Recitative, b.1095-1112).

The entry of the Prince and his tale of admiration for Lulu, interrupt Alwa's thoughts. Persistent ringing of the electric bell anounces trouble (Chorale, b.1113-1154).

Lulu rushes in, followed by the Wardrobe Mistress and Stage Manager. Lulu, distressed by the sight of Schön and his fiancée in the audience, refuses to perform. Schön arrives to order her back onto the stage. She agrees to return after some rest and everyone leaves, except Schön (Ragtime and Sextet, b.1155-1208).

Schön reprimands her, saying that she should be grateful for an audience of decent men and women, instead of insulted. Schön's inability to break ties with Lulu is exposed when Lulu tells him about the Prince's plan (Sonata development, b.1209-1288).

Devastated, Schön begs Lulu for a solution. She gives him writing paper. When he cannot write, she dictates a letter to his fiancée, which ends their engagement (final Sonata reprise or recapitulation : Principal theme, b.1289-1298, Bridge, b.1299-1303, Subordinate theme, b.1304-1355, Coda theme, b.1356-1361).

Schön's Sonata (b.533-668):

Schön's Sonata, which dominates Act I, represents his character and his struggle to break ties with Lulu (so as to marry his fiancée of three years' standing). Consequently, its material is derived from Schön's Series and the BS, which is also associated with Lulu.
The exposition (b.533-624) and first reprise (b.625-668) occur in Act I/2 and the development (b.1209-1288) and final reprise (b.1289-1361) in Scene 3, to reflect the dramatic similarities between the two scenes.

Berg's form sketch clarifies the exposition's division into four sections; each section is associated with a specific theme in Schön and Lulu's dialogue:

1. "Main Theme - Schön, the complete personality, multi-sided domineering, possessed by deep feeling - his row alone, short (domineering)" - connected by "(childish person)" to

2. "Bridge - Walter and the other men -Lulu : his childlikeness" - connected by "(Beast) long" to

3. "Second Theme - the bride - both - her praise, (vain) middle
4. Coda - the possession - Lulu - her grateful love - long."[114]

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[114]Author's linear rearrangement of Patricia Hall, "Derivational Unfoldings in the Sketches for Lulu : The Case of Dr. Schoen" (Paper read at the Fiftieth Annual Meeting of AMS, Philadelphia, Pennsylvania, 25-28 October 1984), Fig. 1 (ÖNB Musiksammlung F21 Berg 28/XXVII fol.1') and its transcription and translation in Exx. 1a and 1b.

In addition to this structure-strengthening device, particular tempi mark the four sections : first subject ♩ = 80 (b.533-553), bridge ♩. = 46 (b.554-561), second subject ♩ = 69 (b.562-578, b.587-614), coda ♩ = 58 (b.615-624). In Berg's early Sonata sketches, the first subject and coda were assigned tempi of ♩ = 80½ and 57½, respectively, and in Lulu's particell he comments on their numerical significance : "N.B. $\frac{23}{2}$ = 11½. 11½ x 4 = 46 ... 11½ x 5 = 57½ ... 11½ x 6 and 7 gives 69 and 80½ ..."[115]

This formal structure is an extension of that in Schigolch's Nonet (I/2, b.463-530). In both instances, Berg has deliberately reordered and condensed Wedekind's text so as to exploit the textual-musical relationships.[116]

Upon entering, Schön asks Lulu in b.531, "Was tut denn Ihr Vater da?" in the form of Schigolch's T-O, segments Y (initiated by trbn 1 and vn 2) and Z. This revelation of paternity is immediately mystified by Lulu's response, "Was haben Sie?!", (segment X), and Schön's surprise that the Painter allows Schigolch to visit.

Schweizer was the first to describe b.533-534 as representing the derivation of Schön's Series from the BS.[117] His analysis of this passage forms the basis for that of Reiter.[118]

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[115]Ibid., p. 6 (ÖNB Musiksammlung F21 Berg 28/XXX fol. 14 and F21 Berg 29/I fol. 65).

[116]Jarman, The Music, p. 207, n. 2; the first half of the Sonata movement is based on reordered Erdgeist II/3 and the second half on condensed III/9. See The Lulu Plays (and Other Sex Tragedies) by Frank Wedekind, trans. Stephen Spender (London: Calder & Boyars, 1972), pp. 46-47, 49 and p. 75, respectively.

[117]Schweizer, Die Sonatensatzform, pp. 192-193.

[118]See Reiter, Die Zwölftontechnik, p. 44.

Example 15 below shows a self-contained Sonata energico main theme (encircled va and vn 2 pitches) and the distribution of remaining BS notes between the vocal line and accompaniment:

EXAMPLE 15

Sequential juxtaposition of BS notes between Schön's pitches disintegrates, mid-second statement of BS. Hall's comparison of the earlier and later sketches of the Sonata opening provides an explanation, viz. initial graphic notation, indicating note-duration only, for vocal line and first subject, followed by pitch assignment to these parts, with inserted pitch names of omitted BS notes, in their correct order, between the pitches of Schön's Series.

Berg then began systematically crossing them off as he fitted them into the accompaniment.[119]

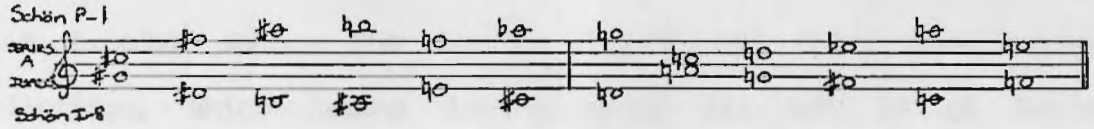
119See Hall, "Derivational Unfoldings in the Sketches", pp. 7-8.

> Berg's sketches leave little doubt that the passage is a compositional working out of the derivation of Schoen's row -- a fact that is not at all clear from the finished score. Yet, as Perle and Jarman have suggested, it does not actually "demonstrate" the relation between the two rows to the listener, for Berg has written the unfolding in far too cryptic a manner.[120]

This unfolding is thus significant for its dramatic symbolism rather than for its derivational properties, i.e. the audible independence of Schön's Series[121] from the BS reflects Schön's command of the situation and Lulu's perplexity.

The Sonata's main theme's conclusive repeat of notes 1,2 i.e. G♯,C♯, is the enharmonic equivalent of its opening A♭,D♭,[122] and leads to Schön's Series (prime) on D♭ and his inversion commencing with G♯, viz. P-1 and I-8 (b.535-536) in cls 1.2 and bns 1.2, respectively. Together they produce Series A dyads in which the following note-pairing occurs:

EXAMPLE 16[123]



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[120]Perle, The Operas Vol. 2, p. 159, as cited by Hall, "Derivational Unfoldings in the Sketches", p. 8, n. 13.

[121]Hall, "Derivational Unfoldings in the Sketches", pp. 3, 8, and Schweizer, Die Sonatensatzform p. 192 as cited by Hall, n. 14.

[122]"Because of this, the listener might hear the opening of the sonata as having a D♭ "tonic", or he might hear the D♭$^{6}_{4}$ chord as the dominant of the G♭ which follows on the fourth eighth note of the opening measure. The two keys of D♭ and G♭, which are suggested in this opening phrase, become the two main tonal areas of both the sonata and the later aria." Jarman, "Dr. Schön's Five-Strophe Aria", p. 25.

[123]Ibid., Ex. 5.

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The chromatic consequent, consisting of paired notes 9,10,12 in contrary motion, is stressed and doubled by str (b.536); notes 11 are relegated to subsidiary voices.

Lulu's "Sie können getrost "Du" sagen;" (end b.534-535) is reminiscent of the Painter's question, "Warum sagst Du nicht "Du"?" (I/1, b.191), except that she addresses Schön with the formal "Sie". The musical settings of each are also related, i.e. Schön's P-3 (1-7) by Lulu and BS P-3 (1-6) by the Painter, demonstrate five-note invariancy; moreover they share pitch A as note 7.

Schön's P-3 is completed by the vocal lines (b.536), when Schön imitates Lulu (6,7,8); "für die Ehre" initiates a pattern of isolating notes 1,10,11,12 : she isolates these notes of Schön's P-10 in b.537 and he has notes 1,10,11,12 of his P-8 in b.538. Celli double, bridged by descending BC I (F♯,C♯,C,G) to anticipate the ascending statements of BC I in vn 2 and va (b.539), and Schön's intention to sever ties with Lulu.

In a broader sense, the fourths (F♯-C♯ and C-G), constituting the BC I-bridge, which Jarman labels dyads III and IV of Series B, respectively,[124] will reappear more prominently in Schön's five-strophe Aria. Likewise, Series A dyads, already mentioned (b.535-536), include the fourth-dyads I (G♯-C♯) and II (G-D), i.e. notes 6 and 7 of Schön's P-1 and I-8, which form BC I (G♯,C♯,D,G).
Furthermore, the first two notes of each hexachord of Schön's Series form BC I, ascending in the prime and descending in the inversion.

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[124]Ibid., p. 34.

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Notes 4,5,6 of Schön's Series form a diminished triad, with note 5 as root; this property is highlighed by ww, b.537-538:

EXAMPLE 17

P-4 of this figuration is completed by hn 1 (8-11), end b.538-mid b.539, and by vn 1 (8-10,12,11) in b.539. Violin 1 continues with Schön's P-5 until end 3rd beat b.541 : 1-7, 8 (vocal line's emphatic, repeated E), 9,11,12,10,1-5, and supplies roots for a sequence of harmonic diminished triads in vns 1.2 and va (from note 11 of P-4 in vn 1 to beg. b.541), doubled later by ww; hn 1 completes the diminished triad on the last ♪ of b.539; vn 2 consists of BS P-1 (1-4) and Schön's P-11 (5, or 4 of BS P-1,6,7,9,11,12, 10), final ♪ b.539-end b.540.[125]

The rest of Schön's P-5 can be found during the second half of b.541, e.g. notes 6,8,10-12 in vn 2, doubled by ob 2, 7 (B) in hn 1, and 9 (F♯) in vc.

Lulu's uncertainty in b.542 is reflected in the unravelling of Schön's I-7, by vn 2 (1), tpt 1 (2,3,5,6,7), va (2,3,4,8), vc (9,10), hn 2 (11,12) and

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[125]This formation and that of Ex. 17 above, represent Schön's counterpart to the triadic results from superimposing transpositions of Lulu's Series (e.g. I/2, b.418-beg. b.420, N) and segments of Schigolch's Trope (e.g. I/2, end b.482-mid. b.483, str).

the oscillation of these parts' final notes until beg. b.544. Lulu's vocal line at this point consists of b.541's pitches (vocal line). Schön repeats these pitches until beg. b.545, after which the addition of new notes increases.

The first subject reappears energico in va and vc (b.544), i.e. Schön's I-10. It retains the harmonic fourth opening, and is completed by vc (b.545). Rhythmically identical to the Sonata's opening, the theme is again contained between notes 1 and 2. The latter becomes note 1 of Schön's I-5, which together with bns 1.2, continues until b.547. Rests seem to isolate the opening f$^{6}_{4}$ (notes 1,2,3), the diminished triad (4,5,6), and the chromatic consequent (9,10,12).
The harmonic major thirds in hns, tpts and va (b.545-beg b.547), perhaps portray Schön's reference to "two years ago", i.e. when the Medical Officer was still alive.

Violins, joined later by obs, have the main theme at Schön's P-2 (b.547-548). His I-11 is suggested by va and vc, b.548-2nd beat b.549 (1-4, 7-12). Clarinets and trbn 1 combine Schön's P-7 and I-2 (b.549-beg. b.550), to form Series A dyads. Note 6 (G) of I-2 is supplied by Lulu's vocal line and the dyads on notes 7,10 and 12, are displaced; cls stress the chromatic consequent.

Schön's "Wenn Walter nicht so ein Kindergemüt wäre" is set to the second and first hexachords of his I-0, and is accompanied by his P-0 in vn 1 (b.550-551), with note 7 (F♯) in vn 2 and stressed chromatic 9,10,12. This reference to the Painter leads one to expect a musical reference too. The only apparent link is the figuration in cls 2.3 (b.551), after cl 3's first four notes of BS I-0. The rhythm is associated with the Painter Dyads, and

those belonging to I-5 are present, e.g. F-B, A-C♯, A♭-E, B♭-D. This passage is clearer in terms of anticipating the bridge section and Lulu's complaints about the Painter's blindness, the start of which is accompanied by Painter Dyads P-5 in cl 3 and bcl (b.553, from end 3rd beat): 1-7, added note D♭ in bcl, 3-9, 4-10, 5-11, 6-12, 1-7, 9-3. P-5 and I-5 are related by the combination of their first two dyads into a common Painter Chord ①, but because the Dyad 2-8 of P-5 is absent, this link is too tenuous.

In b.553, Lulu's "Kindergemüt" repeats Schön's "Kindergemüt" of b.551, but now at Schön's I-5 (1-4), to form the link between the first subject section and bridge section, which Berg indicated between his columns 1 and 2 of the Sonata form sketch.[126]

Her "Er sieht" is set to notes 1 and 2 of Schön's P-9, which cl 1 completes (b.554 after tied G♮), concluding with the chromatic consequent; similarly in b.555, with Schön's P-0 : 2,1 (vocal line's initial descending fourth), 3-8 (cl 1), 11,12 (vocal line).

Lulu's "Er ist blind, blind, blind" (b.556-557) intensifies her preceding phrase (b.554-555), by transposing the pitches a minor third higher and extending it to culminate on D♮, thus completing the melodic diminished seventh chord (F,A♭,B,D), inherent in the previous phrase, as the melodic diminished triad D,F,A♭; similarly for the diminished seventh chord (A,C,E♭,F♯) built up by the lower notes.

The accompanying three-quaver groups, in bn and vc, melodically present the diminished seventh chords G,B♭,C♯,E (first and second notes of each group) and A,C,D♯,F♯ (third notes); cl 1 repeats the latter (b.558-559). Trope II is thus sounded.

The minor third and perfect fourth elements could be related to the

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[126]See p. 54 above.

accompaniment of b.427-beg. b.431, when the Painter revealed his attitude to Lulu: "Du bist ja mein, ich habe nichts mehr, seit ich Dich hab'. Ich bin mir vollständig abhanden gekommen".

Lulu's P-6 (sharpened note 1) unfolds in ob 1 (b.557, after initial A♯-beg. b.558) and continues to oscillate on notes 11 and 12 until evolving into the Duettino theme (b.559-560), which originally accompanied the Painter's remarks on domestic bliss, a tone lower (b.416-418). "Dein Haar atmet eine Morgen‿frische" (end b.418-421) occurs in fls (3rd last ♪ b.560-561), a tone higher.

Schön's suggestion of opening the Painter's eyes is set to the first four notes of his I-11, doubled by bcl (2nd half b.557); Lulu gives notes 5-8 (end b.557-beg. 2nd beat b.558), and notes 7 and 8 evolve into the first four notes of Schön's I-5. This pattern of four-note isolation continues in bn 1 (mid. b.559-560) for Schön's I-3 and repeat of I-5, and in dbn for I-7 and I-9 (2nd half b.560-561).

The first three notes of Schön's P-7 are stated harmonically (beg. b.558) by bn 1, ob 1 and fls, i.e. C♮; the Series continues in bcl until b.559 (4-12). Similarly, notes 1 and harmonic 3 and 4 of Schön's I-3 occur in fls (end b.559), and fls and ob 1 (beg. b.560), respectively; enghn unfolds the Series further until b.561.

Notes 3-8 of Lulu's P-8 are presented in her vocal line, doubled by fl 2 (end b.559-beg. b.560), followed by her P-1, doubled by cl (until b.561); note 9 is supplied by dbn (2nd ♪ b.561) and 12 is absent.

The second subject section is anticipated, end b.561-beg. b.563. Lulu's "Bitte, wie Sie wünschen!" is subdominantly related to Schön's "Kommen wir zu Ende!"; this relationship is supported by va and vc. The repeated element, contour and rhythm-sequence is related to the Duettino's theme, without rests (I/2, vocal line, b.416-418). Piano doubles str, i.e. f♯$^{6}_{3}$, diminished triad on G, fourth chord, and augmented triad F-A-C♯.

Schön's explanation that it was through him that she married, is set to his P-8 (3-10,12, b.563-564), whilst hn 1 oscillates on notes 2 and 1, and his P-11 (3-8,1,9, b.565-566), with its horn oscillation (notes 2,1 after tied C♯, changing to notes 11,12).
Reference to domestic life with the Painter (b.567-570) is mirrored by Lulu-like scale forms (vocal line, btuba), harmonic fourths and melodic minor thirds (tpts).

Imitative entries by notes 8,5,6,7 of Schön's Series, at minor thirds apart, alternate between trbns 2 and 1, viz. P-2 (b.567), P-5 (b.568), P-8 (b.569), and P-11 (b.570-beg. b.571), with a conclusive note 8. Trope II is thus sounded between them.

Lulu's P-5 (sharpened note 1) in btuba (b.569-beg. b.571), puts Schön's claim, "Ich habe Deinem Mann eine Position geschaffen", into perspective, for she too played a part in the Painter's success, i.e. as the subject of his paintings.

Schön's vocal line (b.570-end b.577) presents his I-10 (1-4), P-6 (4-12) and complete I-2; tpt 1 sounds notes 1-4 of his I-4 (mid b.571-beg. b.572). From mid. b.573-578, tpts 2.3 repeat an augmented Duettino theme and its appendage ("Dein Haar ...") a semitone higher than the original (b.416-

421); vn 1 has Lulu's P-O (b.575-beg. b.578) : 1-8, [9 in vocal line], 10,11. This serves as accompaniment for Schön's wish, "lass mich dabei aus dem Spiel", i.e. to play no part in her life.

Their monologues are combined simultaneously in the bridge reprise (b.578-586), to depict "Lulu and Dr. Schön, die - in plötzlicher Bewegungslosigkeit-aneinander vorbei singen" (note * in the score). The orchestra repeats the first section's woodwind accompaniment (b.554-561) in the str. Lulu retains the earlier pitches, but Schön's setting recapitulates cl 1 (b.554-555), ob 1 (b.556-beg. b. 557), bcl (b.557-beg. b.559), bn 1 (2nd half b.559), and enghn (b.560-561), i.e. a diminished version of his vocal line (b.563-578), transposed a semitone higher.

Berg's "(Tier)" in his form sketch, connecting the transitional group (bridge) and second subject,[127] takes the form of a permuted BC I (D♯,G♯,A,D) in va (the rest), end b.586-588.

The Sonata's subsidiary theme (b.587-614),[128] is associated with Schön's fiancée. The constituent Gavotte and Musette symbolise Schön's "longing for orderly bourgeois conditions."[129] Piano has triadic elements, inherent in his Series, e.g. major, minor and diminished triads, and the fourth chord from notes 7,8,9 (e.g. b.607-beg. b.609).

Violin 1 accompanies Schön's "Am Ziel meiner Wünsche!" with his I-8 (1,2,4-12, end b.591-beg. b.594).

Lulu's suggestion that they can still meet, recalls the energico string

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[127]See p. 54 above.

[128]"... the listener is likely to hear the second subject theme as centering on an F♯ tonic", because of its repeated F♯ (anticipated in b.585 by solo vns 1.2). See Jarman, "Dr. Schön's Five-Strophe Aria", p. 26.

[129]Reich, The Life and Work, p. 166.

main theme, i.e. his P-8 (2-12,1,2) in vns 1.2 (end b.606-beg. b.610); vn 2 and hn 1 continue with the first hexachord of P-1 until end b.611. Schön imitates with notes 2-7 of his P-8 (b.608-beg. b.610).

They sing simultaneously, end b.611-614. Schön's concluding "Ihres Mannes" has immediate impact on Lulu, who repeats "'Meines Mannes' ..." (gesprochen), and the Coda theme commences.
Its chromatic opening was anticipated by asax and vn 2 (mid. b.612-beg. b.615), bns and db (b.614-mid b.615), as isolated, stressed notes 9,10,12 of Schön's P-1 and I-4, respectively.

The Coda theme represents Lulu's grateful love for Schön and "his inability to free himself from a relationship that threatens to engulf this powerful public figure in a scandal"[130] and eventually destroy him.
In Mitchell's comparison between Wedekind and Berg's conception of Lulu's character, he wrote the following about the Coda music:

> In Earth-Spirit (act two/3) Lulu makes a declaration of her attitude to Dr. Schön, speaking, according to the stage directions, "in a decided tone" : 'If I belong to anyone in the world, I belong to you. Without you I should be - I wouldn't care to say where. You took me by the hand, gave me food and clothing when I tried to steal your watch. Do you think I can forget a thing like that? [Who except you in the whole world has ever cared for me?]
>
> In the opera (act one/2), a transformation has occurred. No longer is the statement a typically Lulu-ish recital of plain and emotionally detached facts; ...

---

[130]George Perle, "The Character of Lulu : a Sequel", The Music Review (MR) 25 (1964): 313.

> ... The exceptional beauty of this passage leaves us in no doubt as to the depth of Lulu's love. The "love", however, was not originally part of Wedekind's dramatic intentions - indeed, it is destructive of them - but has been introduced by the composer.[131]

In his sequel to this article, Perle argues that this setting "is entirely consistent with Lulu's special relationship to Dr. Schön, for the attachment between Dr. Schön and Lulu is not at all comparable to the casual connections that she has with her other husbands and lovers in the opera ..."[132]

Lulu's gratitude to Schön resembles Berg's faithfulness to Schoenberg, who came into his life at a critical time (1904) to recognise and encourage his talent.[133] Within this context, Schoenberg's symbolic number 13 is related to the Coda's mm ♩ = 58 (5+8 = 13) and b.616 (6+1+6 = 13), which marks the start of the relevant text.

The melody of the Coda music (e.g. vn 1, b.615-616) is Tristan-like, i.e. similar to the Tristan und Isolde Prelude opening (b.2-5), intervallically (semitone, major sixth):

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[131]Donald Mitchell, "The Character of Lulu : Wedekind's and Berg's conceptions compared", MR 15 (November 1954): 273.

[132]Perle, "The Character of Lulu", p. 313.

[133]See Arnold Schoenberg, Style and Idea, ed. Leonard Stein, trans. Leo Black (London: Faber & Faber, 1975), p. 474.

EXAMPLE 18

Likewise, the Coda music unfolds slowly (Lento) and remains unresolved. The harmonic perfect fifth (A♭-D♭), between vc and db (beg. b.615), corresponds to the transposed, harmonic perfect fourth of the Prelude (beg. b.2, right hand in pf score); the semitonal movement is accompanied by the harmonic minor sixth (A♭-C), between vc and db (2nd half b.615) and by the major third (E-G♯) in the Prelude (b.3, left hand).

The chromatic figure in vc (mid. 1st beat b.615-616, A♭ to B♮) is identical to the Prelude's chromatic melody (b.2-3, G♯ to B). The conclusive, melodic tritone in vn 1 (b.616, D-G♯) also occurs in the Prelude, but harmonically (b.6, left hand sustained D-A♭). Berg's corresponding sequence: major sixth, semitone, immediately before, is a perfect fifth higher than that in the Prelude (end b.4-end b.5, left hand), thus seeming to bridge the Prelude's final fall of a fourth (G-D), end b.5-beg. b.6.

Berg quotes the first three bars of the Prelude in the desolatory sixth movement of the Lyric Suite (b.26-27). This work was secretly

dedicated to Hanna Fuchs-Robettin. His letter to her (October 1931) speaks of unfulfilled love and indicates that she influenced Lulu's composition also:

> ... - But believe me, Hanna (and now I can finally address you properly: one and only eternal love), all this pertains only to this exterior person, the one I have been forced to present myself as to my fellow human beings and whom you (thank God) have never known, and who (only in order to characterize him in some way) might for a time be fulfilled with the joys of motoring, but could never be able to compose Lulu. That I am, however, doing this may be proof to you that the other person (and now I can speak again in the first person) that I still exist! When I work and take hold of your pen, at that moment I am here, and am also with you, as I am with myself when I am with you in thought.
>
> [You must believe me] that now, as before, everything which gives meaning to my life belongs to you, and that I consider our relationship to be inseparable, despite the time and space which separate us - that I consider our relationship inseparable and continue to look at it that way in my deepest self. This is independent of whether or not this separation of time and space will cease sometime during this life, which I continue to hope, even if I have to be patient, and which gives me the strength to live on. And, this is regardless of whether or not you share these thoughts, wishes, and hopes; for, do I know whether you still love me - ...[134]

The Coda's beginning was briefly heard earlier, when Schön and Lulu entered (b.530, trbns, vn 2+vc+db).

The consequences of their relationship are suggested by the incorporation of the fate rhythm in the Coda's melody:

EXAMPLE 19

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[134]IABSN 6, News column (June 1978) : 3.

The fate rhythm continues in vib (b.620), pf (b.621) and vn 1 (b.622-624, two statements).

Bars 615-616 contain the unfolding of Schön's P-8, i.e. at the same transposition that opened the Sonata, and reappeared as countersubject to the conclusion of the second subject material (b.606-610). However, Jarman describes the Coda section in terms of traditional tonality (D♭ tonic), e.g. the initial E♮ in vn 1, simultaneous with Schön's opening D♭$^{5}_{3}$ (va,vc, db), "is prepared in the previous measure and is treated as an appoggiatura to its resolution on F [note 3 of Schön's P-8], while the dissonant A in the third measure of Ex. 7 [b.616, vc] is a passing note moving from the concordant A♭ of the previous measure to the B♭ on the third [fourth] eighth note of the third measure [b.616]."[135]

This "passing note" is more significant as note 9 of the chromatic consequent (9,10,12) in Schön's P-8. Viola together with vn 1 (after E♮), present notes 3,4,6,7,1, vc has notes 1, added G♮, 1,9,10,12 and notes 2,5,8,11 occur in db.

Unlike most other passages in the opera, Berg sketched the Coda repeatedly, making only slight changes each time.[136] Hall's study and transcription of these sketches reveal the unfolding of Schön's Series from the BS:

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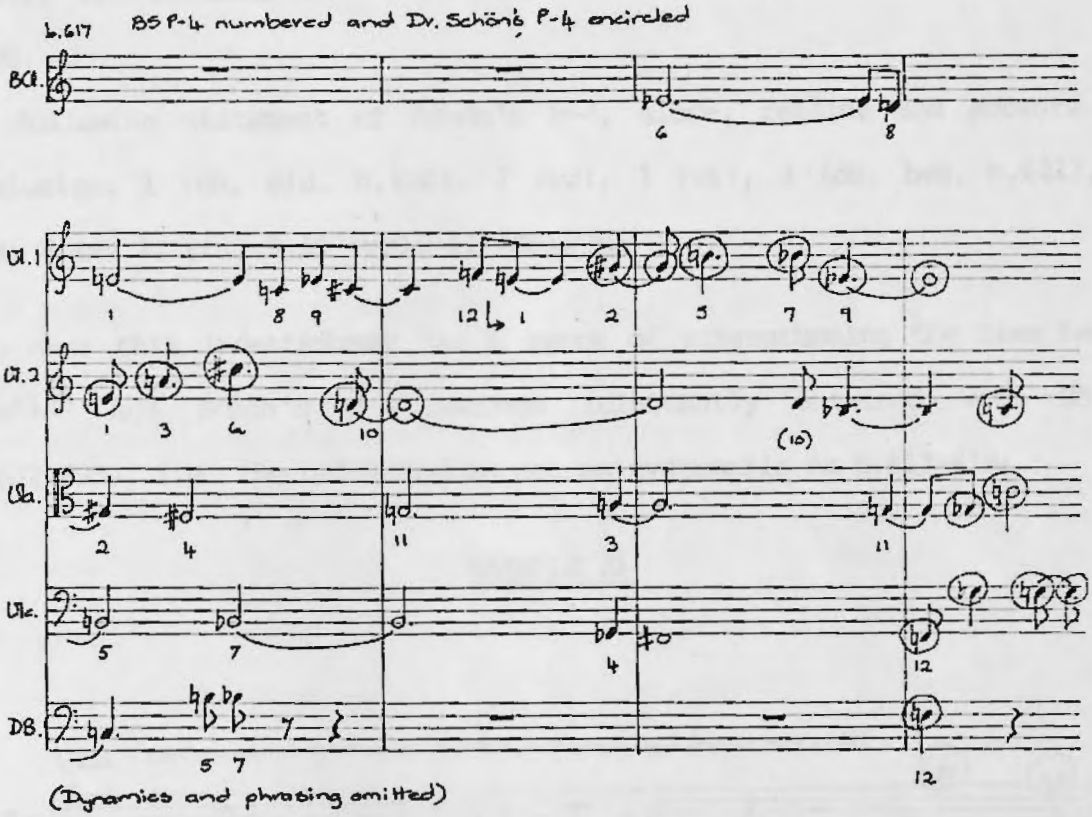
[135]Jarman, "Dr. Schön's Five-Strophe Aria", p. 27.

[136]Hall, "Derivational Unfoldings in the Sketches", p. 9.

EXAMPLE 20



Next to an early coda sketch of fall 1929, Berg wrote: "mit Entstehung aus der Urreihe" (with genesis from the source row), thus symbolising "the possession", in which Schön's row literally belongs to Lulu's row, the source row of the opera. "Schön's row predominates slightly, for Berg has separated the notes of his row into the melodic line and the remaining notes of the source row, in their proper sequence, into the accompaniment."[137]

Schön's P-4 separates from BS P-4 to coincide with Lulu's beiläufig (casual) account of Schön's generosity, in rhythmic speech (end b.619), i.e. only two statements of the BS, instead of three for Schön's

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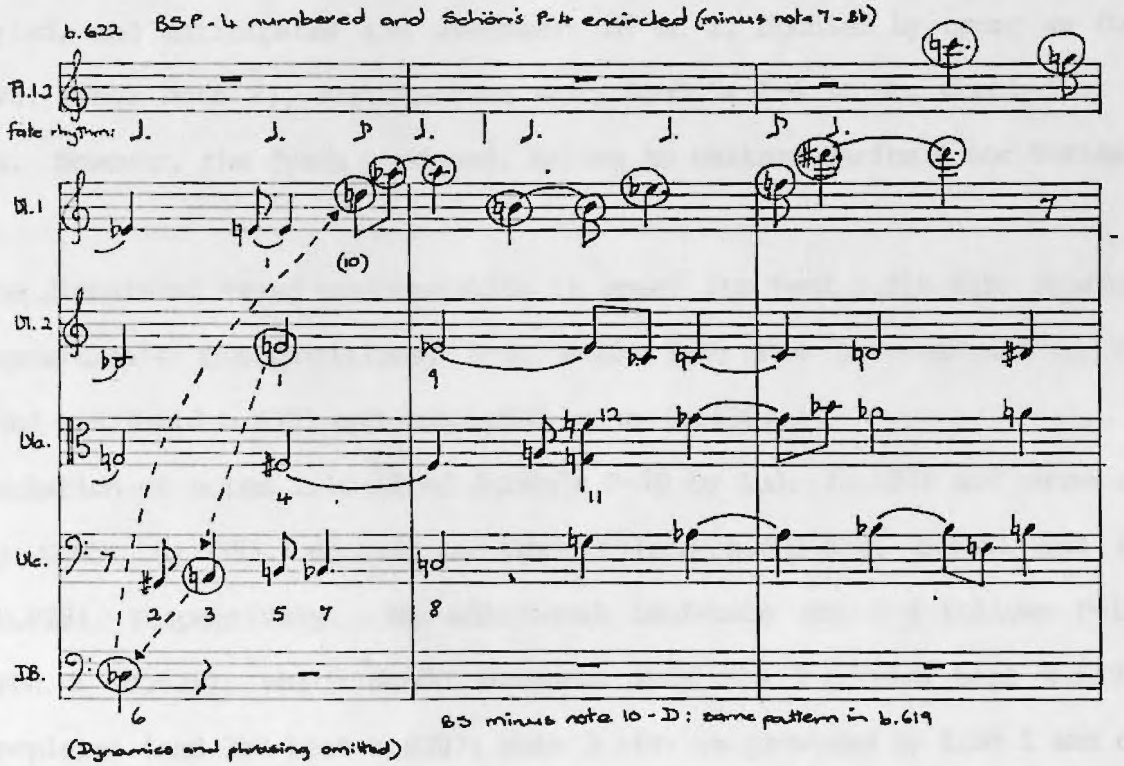
[137]Ibid., pp. 9-10.

derivation, hence no source interpolations between his notes 9-12. Notes 9,10,12 are isolated as the characteristic chromatic consequent, beg. b.620.

The following statement of Schön's P-4, alone, retains and accents this conclusion: 1 (db, mid. b.620), 2 (vc), 3 (va), 4 (db, beg. b.621), 5-7 (vc), 8 (vn 1, pf), 9,10 (vc), 11 (db), 12 (vc).

Lulu uses this indebtedness "as a means of strengthening the ties between them"[138] and Schön's P-4 becomes reluctantly entwined with BS P-4 (b.622-623), i.e. the unfolding is not as systematic as b.617-619:

EXAMPLE 21



[138]Jarman, The Music, p. 207.

The Coda music demonstrates how "subjective elements are transformed into objective restraints which paradoxically, both embody and curb the subjectivity from which they sprang",[139] i.e. a feature of Berg's mature works, as in the Lyric Suite.

Schön ushers in the Sonata's first reprise with a repeat of Lulu's final five, Sprechstimme pitches (b.624), for his "Lass mich aus dem Spiel!", a phrase from the bridge section.
Like the Sonata's opening, the reprise begins with a conditional sentence, "Wenn Du mir verpflichtet bist, dann wirf Dich mir nicht zum drittenmal in den Weg!", set to Schön's I-4 : 1-4,5 (hn 1), 6-11,12 (vn 1). The accompanying first subject is now at P-6 (hn 1, b.625-626); note 4 (E) is supplied by db, which forms the root of Schön's P-11's opening E major triad, and anticipates its statement in vn 1, doubled by upper ww (b.627-628, minus note 8), simultaneous with Schön's I-6 in db, doubled by lower ww. However, the dyads produced, belong to neither Series A nor Series B.

The diminished triad configuration in upper str (end b.628-629) retains the exposition's transpositions, P-4, P-10, P-7; P-4 is continued by trbn 1 (end b.629-mid b.630) and completed by va (b.630).
Isolation of notes 1,10-12 of Schön's P-10 by Lulu (b.537) and those of P-8 by Schön (b.538), occurs in trbn 3 (end b.628-beg. b.629) and trbn 2 (b.629), respectively. An additional isolation for P-4 follows P-10, in trbn 3 (b.629), which Schön converts into his I-0 (3rd beat b.629) and completes (end 3rd beat b.630); note 3 (E♭) is provided by trbn 1 and db.

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[139] Ibid., p. 230.

The emphatic, repeated E of b.540 is rhythmically altered and sounded by tpt 1 and vn 2 in b.631. Schön's P-8 (1-7) in vc (final beat b.630-end 3rd beat b.631), is a new component of the diminished triad configuration; BC I no longer features.

The Painter Dyad 6-12 of P-5, between cl 3 and bcl (b.553), is substituted by Dyad 8-2, between cl 1 and bcl (b.632), thus confirming the suggested link between the first two Painter Dyads of P-5 and I-5.[140]
Trumpet 1 has Lulu's "Kindergemüt! Er sieht nichts" (b.553-554), 2nd beat b.632-mid. b.633, i.e. Schön's I-5 (1-4,11,12), to merge into the bridge section. The 'blindness' theme is sounded by fl 1 (end b.632-beg. b.638). Schön's vocal line (b.632-beg. b.633) is set to the first four pitches of his P-4; his reference to the Painter's virtues ironically outlines the "Er sieht nichts ... Er is blind ..." part of the bridge theme (b.633-636).
The orchestral accompaniment is abbreviated and distributed over a wider timbre, i.e. addition of brass and strings.

Schön's "Wenn dem die Augen aufgehn!" (from b.557) is in va and vc (b.636, after initial D♭), and va's outline of melodic BC III (b.558-559), associated with the Duettino theme, is refined by vn 1 (b.637-mid b.638). Schön's I-3 from bn 1 (2nd half b.559) and enghn (b.560), reappears in Schön's vocal line (mid. b.637-638), vc (2nd half b.638) and the vocal line of b.639; Lulu's "und kleines Vögelchen. Ich bin ihm nichts als Weib und nichts als Weib" (end b.559-561) is now in vn 1 (end b.638-beg. b.639) and cls (b.639-640), respectively.

Bar 641 returns to the exposition section, which was interrupted by the bridge reprise, e.g. Schön's insistance that Lulu leaves him in peace (b.642), repeats the pitches of his vocal line (b.544), and b.643 doubles

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[140]See pp. 60-61 above.

notes 6-9 of the first subject (I-10), in va and vc, from b.544-545. The instruction energico is replaced by Animato, and Lulu punctuates with unconvinced "Ach so ..." repeats; the first and final phrase, "Ach so ...", repeats that between b.546 and 547, and Schön recapitulates his pitches of b.545-546 (b.644, after initial G♯-646).

Schön's P-2 from b.547-548 (vn 2), overlaps with the start of the second subject reprise (b.646-650, note 9 is replaced by D♮). Likewise, note 2 becomes 1 of Schön's P-7, and his final demand, "Dann lass mich endlich frei!" is set to its notes 2-7 (b.651-652), before the conversation concentrates on the second subject's associative theme, his fiancée. The "Weib" - or connective "Tier" - BC I ascends, transposed, in bcl and vc (b.650-651).

In the section, à la Musette, Lulu again evokes Schön's reactionary P-8 (vn 1, end b.656-beg. b.660), i.e. the Sonata's opening main theme and situation of b.605-610. The piano fourth chords of b.594-beg. b.595 and b.607-beg. b.608, reappear in vn 2 (b.655-beg. b.656 and b.657-beg. b.658, respectively).

Schön's P-1 in hn 1 (b.610-611) is extended by vn 1 (b.660-663), to end on the chromatic consequent; the hn 2-vn 1 accompaniment now occurs in va.

Schön's vocal line (b.660-661) has his I-1 (1-4,3,2,1) and the first five pitches of his I-4. Lulu's "Bin ich etwa eifersüchtig auf das Kind?" repeats her vocal line of b.611, 612 and 614, hence throwing doubt upon her denial of jealousy.

Schön repeats her last three notes (b.663), and with the additional C♯, he inverts and extends the palindromic sequence of b.660's vocal line, until mid. b.665.

"Meines Mannes" pitches (e.g. b.615's voice) in tpt 1 (b.665, after initial

F♯-beg. b.666) coincide with the entrance of the Painter and climax of the reprise.

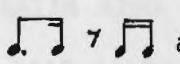
The Coda music (b.615-beg. b.617) is briefly recapitulated (b.666-668), with mm ♩ = 76 (7+6 = 13), i.e. two complete statements of the opera's fate rhythm, ending emphatically to portray Schön's confrontation with the Painter and to anticipate the Monoritmica. The Painter takes Lulu to the entrance of the studio; she leaves quickly on ④ of P.T. T-1 (hns 1.3, trbns, beg. 3rd beat b.667).

The reprise of the Sonata's exposition thus maintains the textual-musical associations.

Alwa's Recitative-review (b.1095-1112)[141]

A Recitative depicts Alwa's consideration of composing an opera about Lulu. It begins with Wozzeck's opening glissando (b.1095, str) and therefore also represents Berg's review of the opera up to this point. Its telescoped recapitulation consists of the following:

1. Lulu's charm (BC I in fls, end b.1098-1099) and portrait/poster (P.T. TI-8 in hns, b.1099).

2. Reference to the Medical Officer from Scene 1 (b.1100-1104) is accompanied by a condensed version of his associative rhythm :  and major thirds. "Schon faul!" (major third) is portrayed by minor-third cancellation.

3. Audience applause (b.1104) interrupts Alwa's thoughts and reminds him of feeding time in the menagerie, i.e. suggestion of the Prologue.

4. The Painter of Scene 2, introduced by the poster (P.T. T-6 in hns, b.1105-1106) and Schön (P-5 : 1-7, bn 2, vc, 2nd ♪ b.1105-1106), seems
("Noch unmöglicher!" Consequently, the Painter's associative motive disintegrates : Painter Chords I-6 and Chord ① of P-8 in obs, bns (2nd ♪ b.1107-beg. b.1109), and Dyads I-5 (9-3, 10-4, 11-5, 12-6) in hns 1.3, end b.1109-beg. b.1110.

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[141]See Appendix A for further details of the following section.

5. Scene 3, accompanied by the Coda theme in vc and Schön's P-4 in vocal line (b.1110-1112), concludes "Sollte es wirklich so weitergehn?"

Chorale (b.1113-1154)[142]

Salvation appears in the form of the Prince. His Chorale commences with the generation of his associative Series (shared by the Manservant of Act II and Marquis of Act III), i.e. extraction from successive statements of Alwa's P-5, BS P-3 and Schön's P-8 (vn 1, b.1113-1123, note 12 in vn 2), according to the palindromic pattern : 1 2 3 4 5 6 5 4 3 2 1. The derivation is related to that of Schön's Series (1 2 3 3 2 1 etc.); the Prince tells Alwa that it was through Schön that he met Lulu (Prince P-5 : 1-11, b.1115-1118).

With the exception of the initial Painter Chords (I-11, b.1113-beg. b.1114), the 36-note Chorale theme is harmonised by Picture Tropes, e.g. P.T. T-3 (vn 2, va, vc 4-note group, b.1115-beg. b.1116), ①, ② of T-9 and ③, ④ of $\bar{T}$-11 (b.1116), TI-3 (b.1117), its reordered repeat (②①③④, 2nd beat b.1120-beg. b.1121) and TI-9 (2nd beat b.1121-1122, with ① in vns, vc).

The Konzertante Choralarbeitung (b.1123-1149) decorates the Chorale theme (continuous in hp until b.1148) with related components.

To the Prince, Lulu's dancing personifies the joy of life and he imagines the happiness she would bring, as his wife ("Als Gattin wird sie einen Mann über alles glücklich machen", final beat b.1143-1147). The orchestra insinuates the opposite by quoting a transposed fragment from Lohengrin's Wedding Song (Act III, Scene 1) in vn 2, solo vc (end b.1143-beg. b.1144)

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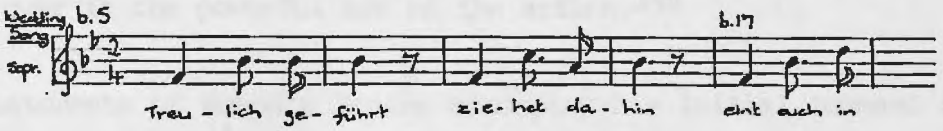
[142]See Appendix A for extra details of the following section.

and vn 1 (b.1146-1147):[143]

EXAMPLE 22



In Lohengrin, Elsa entreated the Champion Knight to reveal his secret origins and consequently terminated their marital bliss.

BC I in upper str (b.1142-1143) comprises the fourth-dyads I (G♯-C♯) and II (D-G) of Series A, and its retrograde in vc (b.1144) is reminiscent of the Painter's declaration, "Alles Lüge" (G,D,C♯,G♯, b.724).

Sonata's development (b.1209-1288)[144]

Similar to the Sonata's exposition, the development takes place during another agitated visit by Schön. It represents the development of the exposition's musical-textual associations. Dramatic events thus determine the musical events.

In a letter to Webern, 23 July 1931, Berg wrote:

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[143]Patricia Hall, "Role and Form in Berg's Sketches for Lulu" (Paper read at the University of Chicago Conference on the Music of Alban Berg, Illinois, 21-24 February 1985); . Hall's translation (Ex. 5b) of Berg's triple role sketch (ÖNB Musiksammlung F21 Berg 28/VI fol. 11) includes his comment "retention of the chorale idea and the "Faithfully led" whether it be into the slavery of marriage, the household or the brothel."

[144]See Appendix A for further details in this section.

> The finale of Act I ... is a development and recapitulation of a sonata movement whose exposition and reprise have occurred much earlier. Now the difficulty is (one of the thousand difficulties): to work the music, which is conditioned by musical laws, into the Wedekind text which is determined by dialectical laws, make the two coincide and span over it the powerful arc of the action.[145]

Imitative statements of Schön's Series accompany his initial command of the situation. Lulu's mention of his fiancée introduces fragments of the Sonata's second theme (b.1214-beg. b.1215 and b.1227-1228), as does her "kindlich bittend" of b.1230. Earlier, when denying jealousy, she referred to his fiancée as "das Kind" (b.663). Her indebtedness to Schön (b.1219-mid. b.1221) is accompanied by Coda material from b.620-beg. b.623, e.g. Schön's P-4 in db, vocal line and hn 2. Flutes present a portion of the Coda theme's intensified version, b.1220-mid. b.1221.

Lulu's belief in herself is set to BC I (vocal line, b.1222) and BC II variant (B♭,F,E,E♭,B♭) plus overlapping BC I (vocal line, mid. b.1223-1225). The accompaniment has BC I (hn 1, vn 2, va b.1222-1223) and harmonic, melodic BC III (pf, mid. b.1223-1225). Strings highlight the perfect fourth and fifth, b.1224-beg. b.1225.

The chromatic setting of Schön's question, "Wirst Du jetzt tanzen?" is continued by Lulu's "Vor wem auch immer ..." (b.1227-1228) and coincides initially with the chromatic consequent of his P-1. Schön's P-1, and I-8 (altered note 1) occur simultaneously in vn 1 and db (b.1225-1227) to form Series A dyads, which were present near the start of the exposition in Scene 2.

Simultaneous statements of his P-5 and I-0 (with altered notes 1) in vn 2 and vc (b.1228-1230) is followed by brass imitations of the contrary chromatic consequent (b.1230-1231), i.e. P-2 and I-9, P-11 and I-6, P-8 and I-3.

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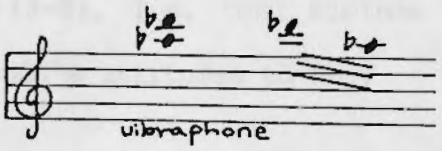
[145]Willi Reich, Alban Berg. Bildnis im Wort, p. 60, as quoted in Carner, Alban Berg, p. 219, n. 93.

An incomplete BC IV in hp (end b.1231-1232) is transposed so as to include Basic Cell V[146] (BC V) in cls 1.2, vib and pf, end b.1232-beg. b.1234:

EXAMPLE 23



as Lulu refers to the stage bell.

The cadential element (notes 9,10,11,12 or B major outline) of her P-7, in the vocal line (b.1231-1233), is isolated by a rest. Similarly, with her I-3 in asax and hp (end b.1233-1235). Schön repeats the latter when he asks Lulu what the Prince wanted. At the end of Scene 2, the isolation of Lulu's last four pitches took place as Lulu forecast her marriage to Schön. Here it anticipates the materialisation of her prediction.

Mention of the Prince is accompanied by the start of his Chorale theme in solo va 1 (b.1237-beg. b.1239), i.e. first hexachord of Alwa's P-5. Lulu's reply that he is taking her to Africa, recalls Alwa's reaction, "Nach Afrika?" (b.1015-1019). Each repeated sentence begins with a three-note segment common to Schön and Alwa, i.e. F-A♭-C (b.1239) and A-C-E (b.1240) represents the corresponding trichordal invariancy between Schön's I-5 and I-9, and Alwa's P-0 and P-4, respectively.

In full, Lulu's "... nimmt mich mit nach Afrika" repeats her "Er ist blind, blind, blind" from the Sonata's bridge passage (b.556-557), but it is now rhythmically modified. Likewise, Schön's "Nach Afrika?" parallels his "Wenn dem die Augen" from b.557.

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[146]Perle's designation. See The Operas Vol. 2, pp. 91-93.

Other elements from the bridge passage are Lulu's P-6 (sharpened note $\bar{1}$) in ob 1 (b.1240-1241), Schön's I-11 (1-5,7) in bn 1 (b.1241), and I-3 (1-10) in vc (b.1244) and vocal line (b.1245-6). Lulu extends the pitches of "Er nennt mich Schätzchen" (b.559) from end b.1241-beg. b.1244, before continuing with her P-8 (3-8), i.e. "und kleines Vögelchen". She thus relates the Painter and Schön's attitudes to her.

The Painter deceived himself with the vision of Lulu as a sex object to inspire bestsellers.
Lulu reminds Schön that he made her into a dancer in the hopes that someone would take her away from him. The accompaniment (e.g. tpts 2.3, pf, vib, vns) to this, presents the whole-tone sequence of harmonic fourths, earlier associated with Alwa's recognition of her potential and the English Waltz. Revelation of Schön's self-deception initiates his gradual breakdown, just as the opening of the Painter's eyes had led to destruction.

Berg's sketch of the Sonata's textual-musical relationships indicates the presence of the Prince, Goll [Medical Officer] and Walter [Painter] in the development's bridge passage.[147] Goll is not apparent in the music, except for the rhythmic figure in bn 1 (b.1239), reminiscent of Alwa's "Medizinalrat" (b.242), which had no tied notes. The bridge passage of the final reprise (b.1299-1303) lacks reference to the Prince and Goll. Perhaps the sketch remarks on their common distortion of Lulu.

Bars 1246-1250 recapitulate the exposition's b.542-546 and the Coda theme becomes an integral part of the music from b.1250 (btuba) onwards. Its first appearance in the vocal line is sung by Lulu (b.1251-1252), preceded

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[147]Hall, "Derivational Unfoldings in the Sketches", Ex. 1a and b. See p. 54 above.

by her "Ach so" (E♭,D♭, from end b.546-beg. b.547).

The fourth chords in pf and vns, 'quasi Rhythmus des English Waltz' (b.1252-1253), comprise ② of P.T. T-9, T-7, T-3 and T-11. Those of end b.1254-1255, sound ② of P.T. T-4, T-2, T-0 and T-10. The latter's whole-tone descent is completed by three solo first violins i.e. from top to bottom : B→D♭, F♯→A♭, C♯→E♭. Lulu simultaneously affirms Schön's recognition of her indestructibility, in the form of the Coda theme.

Her reference to his dwindling energy is accompanied by Series A dyads in ob 1 and bn 1, b.1259-1260, previously associated with his demands. His P-4 is appropriately hesitant in upper ww and vn 2 (b.1261-1263).
The second Sonata theme, in pf, coincides with mention of his three-year-old engagement and recurs with Schön's defence of his marriage plans, e.g. b.1268,1271 (á la Musette ostinato E♭,D♭ or Lulu's disbelieving "Ach so"), 1273 and b.1275-beg. b.1279.
Lulu's vocal line (mid. b.1276-1277) is set to the blindness theme ("Er ist blind ...") and Schön goes berserk.

Sonata : recapitulation (b.1289-1361)[148]

The final Sonata reprise (b.1289-1361) now represents a totally defeated Schön, who in desperation asks a triumphant Lulu what he should do (b.1298). In a modified, purely instrumental bridge passage reprise, her reservoir of resources recalls the whole-tone scale for "Hier ist Briefpapier" (complete in cl 1 doubling). When Schön declares that he cannot write, she commences dictation, and initiates the letter duet. This consists of an extended canonic reprise of the Sonata's second theme

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[148]See Appendix A for further details in the following section.

(Gavotte), which now ironically terminates Schön's marriage plans.
Punctuations by Schön include his P-8 (notes 3-9) when expressing his preference for "Brigitte" (b.1305), and BC I for his admissions, "Mein Todesurteil!" (b.1307-1308) and "Du hast ja recht!" (b.1318-beg. b.1321). Earlier the Painter told Schön, "Du hast recht, ganz recht" (b.740-741). Lulu retains its repeated C setting for Schön's fateful signature (b.1343-1344 and b.1347-1348).

Lulu employs her Series for expressing Schön's awareness of his conscience (end b.1310-beg. b.1316) and unworthiness of his fiancée's love (b.1321-1323, with note 12 at end of BC I, b.1325). She served as catalyst for these conditions.

Schön's vocalisation of the Coda theme for "Jetzt kommt die Hinrichtung ..." (b.1356-1357), seals his own death sentence.
After a condensed Coda reprise (b.1356-1358) and bridge of BC I (hp, db), and BC IV/V (stage-bell), Act I concludes with the cadential chord F-E-A-C♯, set to the rhythmic fate motive.

Modification of this chord at the close of Act II (F,E,A,C) and Act III (F,E,A,B), summarises the significant, fateful developments of each act.
A-F-E is common, i.e. first three notes of BS I-9 or Lulu. The additional C♯ (Act I) is related to Lulu in terms of Schön's P-4 opening (E,A,C♯) and C♮ (Act II) similarly marks the turning point of Alwa's relationship to her.[149] B♮ (Act III) is the final dying note of Countess Geschwitz, who sacrificed her life in an attempt to save Lulu from Jack. The inclusion of the other two versions immediately before, epitomises the recapitulative design of Act III.

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[149]Perle, "Thematic Material and Pitch Organization", p. 302.

CHAPTER II

DEVELOPMENT

Act II consists of two scenes, separated by a Film Interlude. The transitional music represents Lulu's year of imprisonment as Schön's murderer. It also links Wedekind's Erdgeist with Die Büchse der Pandora.

Both scenes take place in the same room of Schön's house, but in Scene 2, the surroundings acquire "a dead, dusty, uninhabited feeling".[150] This contrast reflects the start of Lulu's so-called descent, whereas Scene 1 develops into the climax of the entire work.

Alwa's Rondo spans the whole act, just as Schön's Sonata dominated Act I. The music of the second act can be assessed as development of the music of the first act, with little new thematic material; only the introduction of Countess Geschwitz and her associative music is significantly foreign.[151]

Countess Geschwitz appears for the first time during the opening Recitative (b.4-39) of Scene 1. Lulu is now married to Schön. His monologue, "Das mein Lebensabend ..." (b.40-60) expresses his disgust at having to entertain Lulu's friends in his home. Lulu tries to soothe his bruised ego with her Cavatina (b.61-88).

Three of Lulu's admirers, namely, Schigolch, the Acrobat and Schoolboy,

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[150]Reich, The Life and Work, p. 170.

[151]The Acrobat and Schoolboy also make their first appearances.

take advantage of Schön's weekly visit to the Stock Exchange, and form an Ensemble (Principal section: b.94-172, Canon: b.173-194, Recitative: b.195-200, Recapitulation: b.201-242).* Their canon ends with the question of Lulu's paternity.

Tumultuoso hide-and-seek episodes (b.274, 294, 310-317) and the Manservant (restatements of the Chorale theme: b.250-261, 287-297) interrupt Alwa's visit (Rondo exposition: b.243-336); Schön's unexpected return creates further commotion (Tumultuoso: b.338-379).
The final confrontation between Schön and Lulu takes the form of his five-strophe Aria (b.387-490, 539-552) and her Lied (b.491-538). Schön's solution is that Lulu shoot herself. She kills him in self-defence. Scene 1 concludes with Lulu's Arietta (b.620-651) in which she pleads with Alwa not to hand her over to the police.

Act II/1 opens with the same chords (b.1-beg. b.3) which concluded Act I.[152] As before, they state the rhythmic fate motive.
Lulu's portrait as Pierrot, in a reproduction antique golden frame, stands on a decorative easel at the foot of the staircase. This portrait changes its form and frame according to Lulu's environment, e.g. as a painting in progress (I/1), enclosed in a brocade frame (I/2), and as a poster (I/3).

In Act II/1, its format blends in with the ostentatious decor. The Picture Trope can be found in the string accompaniment, e.g. ① of P.T. TI-9

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* Perle, The Operas Vol. 2, p. 72.

[152]As in Wozzeck between Acts I/II.

(F-A-E in opening chords), ① and ③ of P.T. T-9 (b.3, vns, va), an overlapping ① of P.T. TI-3 (b.3-4, vns), and ④ of P.T. TI-9 (b.4-beg. b.5, vn 2, va) evolving into ② of T-4 (b.6-beg. b.9).
Their disjointed and obscure presentation reflects their shifted depiction of Geschwitz's reference to the female artists' ball (b.5). She herself is an artist and wishes to paint Lulu (Lulu: "... Sie will mich malen" b.64).

Recitative (b.4-39)

The Recitative represents the conversation between Geschwitz, Schön and Lulu. It is dominated by Geschwitz's associative music, derived precompositionally as follows:[153]

Example 24

153 Based on Berg's "Skizze II zu Lulu" in Reich, "An der Seite von Alban Berg", p. 39.

Every fifth note is extracted from successive statements of the BS to produce Geschwitz's ordered Series (see second stave of Ex. 24). In the opera, this series X[154] is cyclically permuted so as to begin on note 10, e.g. Geschwitz's XI-8 in her vocal line, b.9-11; notes 5 and 9[155] are sustained by ob 1, cl 1 (2nd beat b.10-beg. b.12), ob 2 and cl 2 (b.11-beg. b.12).[156] Geschwitz's XI-7, minus note 11 (E♭), occurs in her vocal line, b.4-5; notes 5 and 9 are sustained by vn 1 (upper stave, end b.4-5, lower stave, from end 2nd beat b.5) and cls (mid. b.5).

The ten-note Series presented against the sustained perfect fifth, occurs more frequently in III/2 to mirror the development of Geschwitz into one of the main dramatic figures, e.g. in her Nocturno : four repeats of XI-4 (b.1279-1282), three repeats of XI-10 after a statement of XI-5 (final beat b.1283-beg. final beat b.1286), overlapped by XI-7 (twice), which in turn is overlapped by a statement of XI-2 (end 1st beat b.1287, where note 2(F♯) precedes note 1 in the vocal line, -beg. b.1289).

Earlier, it was demonstrated how this Series is the cyclically permuted retrograde of extracting every seventh note from the BS, i.e. Alwa's Series.[157]

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[154]Designation by Jarman in The Music, p. 121, will be adopted here.

[155]In assigning transposition numbers to her Series, the lower element of the fifth-dyad (note 5) is regarded as the referential pitch (C) for the prime and the upper element (note 5,C) determines the inversion's XI-0; this is based on Perle, The Operas Vol. 2, p. 99, and Jarman, "Countess Geschwitz's Series", p. 115, Ex. 7(b).

[156]Perle interprets this as the Trope's "two pentachords ... employed in a specific serial ordering ..." See The Operas Vol. 2, pp. 99-100, Ex. 56.

[157]See pp. 23-28 above.

According to Jarman, Berg distinguished between Geschwitz and Alwa's Series by:

1. associating each series with a different and easily recognizable melodic contour, and .... by
2. employing Alwa's series exclusively in its prime and Geschwitz's series in its inverted form.[158]

The latter distinction is abandoned when depicting their inner turmoil, e.g. in Alwa's Rondo (see later) and during Geschwitz's suicide-contemplation, III/2, b.1154-1155 : X-10 presented dyadically over sustained notes 5 and 9; similarly for X-1 (b.1162-1163 and X-4 (end 1st beat b.1168-beg. b.1170).

Geschwitz's Trope is formed by sustaining a perfect fifth and partitioning the remaining, cyclically permuted notes into two five-note segments (see third stave of Ex. 24).

> ... although the distinction between the different segments is maintained the ordering within the two segments Y[B] and Z[C] may change from one statement to the next, as may the order in which the two segments themselves appear.[159]

According to Redlich, "The principle of pentatonic organization used here ... can be associated with the pentatonic system of Ancient Greece, and thus with Greek tendencies to homosexual love (Lesbos)."[160]
Geschwitz is a lesbian and in love with Lulu. The Recitative-conversation revolves around the ball she is arranging for female artists. Schön has not been invited.

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[158]Jarman, "Countess Geschwitz's Series", pp. 114-115.

[159]Ibid., p. 112. Reordering within the two segments normally involves cyclic permutation.

[160]Redlich, Alban Berg, p. 181.

Geschwitz's Trope appears for the first time in the Prologue, when the Animal Tamer refers to the crocodile. Segment A of T-10 oscillates accelerando-ritardando[161] in timp, pf and db (b.39-41); bcl, bn 1 and vc sound segment B; simultaneously, asax, vocal line and va have segment C. This is followed by retrograded segments B (asax, vocal line, va) and C (bcl, bn 1, vc) b.40-mid. b.41. The sequence is reversed by hns 1.2, (b.40-3rd beat b.41), and set to the inverted form of Geschwitz's Trope, sharing the same fifth dyad (B♭-F), i.e. TI-5. Retrograded segments C and B occur in hn 1; retrograded B and C occur in hn 2.[162]

In Act II/1, the Recitative is pervaded by her Trope.[163] Clarinets state segments C (b.5-beg. b.9) and B (b.9-beg. b.12, doubled by obs) of TI-1 and TI-6. Segment A of TI-1 is sustained by vn 2 (b.6-beg. b.9) and that of TI-6 is found in upper vn 2 and va, first as a fourth (b.4-beg. b.5) and then as a fifth (b.6-beg. b.9). Schön unfolds segments C and B (minus C) of T-3 (b.7-8), and segment A is sustained by cls (end b.6-beg. b.9). The Countess responds to his idea of gatecrashing with a gesture (beg. b.9), accompanied by an accented, incomplete segment C of T-0 (vc). This evolves

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[161]See p.43 above.

[162]Perle interprets this horn figuration in terms of P-10.
See The Operas Vol. 2, p. 100, Ex. 55 (top stave):

[163]For details of her Trope as a sequence of inversionally related dyads in Act III, see Jarman, "Countess Geschwitz's Series", pp. 117- 118.

into BC I (C♯, F♯, G), which she completes to "Es wäre Hoch-" (G,C). BC I thus symbolises her passionate dismissal of Schön's suggestion.

Geschwitz's vocal line of b.11 comprises a melodic segment A of her T-4 (B,E) and the start of segment C, which upper va completes (end b.11-13). Lower va and vc simultaneously state segments C of T-10 (segment A, B♭-F, bridges the vocal lines of Geschwitz and Schön), T-1 (segment A occurs in ww, b.11-12) and T-6. Their final, sustained notes G, C♯, E and A initiate simultaneous segments B of T-10 (vn 1, end 2nd beat b.13-beg. b.16), T-4 (vn 2, until 3rd beat b.15), T-7 (va, until beg. b.16) and T-0 (vc, until beg. b.17).

The pause of embarrassment (b.16-17) is portrayed by isolating the cadential element of Lulu's I-7. Notes 1-8 (with added note B♮ between 5 and 6) are presented by Lulu (b.14-15) and Geschwitz sings notes 9-12 (end b.15-17). Schön acknowledges Geschwitz's "O bitte", directed to him, with a bow (b.16, notes 9-11) and embarrassment ensues. Horn 1 isolates notes 9-12 (b.16-beg. b.17), which solo vn 1 imitates (end b.16-17).

Geschwitz unfolds segments C and B of her TI-3 (b.18-19) and segment A is sustained by hns 2.3 (b.17-19),[164] which becomes segment A of T-8 (b.20-21). Lulu's uncertainty as to whether male costume would suit her, is depicted by her twisted prefix to segment C (vocal line, b.20-beg. b.21), followed by notes 6,7,8 of her own P-8. Notes 6(F) and 8(F♯) combine with solo vn 1 (b.21-beg. b.22) to form segment B of T-8. The

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[164]According to Pérle, her vocal line (end b.17-19) and the horns' fifth-dyad, exemplify "P and I forms that share the same perfect-fifth segment (P_n and I_{n+7}) are frequently combined, to form what is in effect a new trope of fourteen notes (Ex.57)." See The Operas Vol. 2, pp. 99-100.

first trumpet presents segment C of TI-0, end b.19-22. In b.21, segment A simultaneously represents segment A of TI-3, because segments B and C recur in va (b.21) and solo vc (b.21-beg. b.22).

Geschwitz's reference to Lulu's portrait is accompanied by obscure, overlapping Picture Tropes TI-6 (① completed by hn 2 and tpt 1, beg. b.22), TI-3 and TI-0 (minus ③ and a melodic ④ in solo vn 1, b.23) in pf and str - solo vn 1 (end b.21-23) serves as the melodic guideline.
She concludes, with restraint but warmly, that Lulu is depicted fairy-tale-like, in a setting of her TI-10's segment C (vocal line and solo vn 1, 2nd beat b.23-24); segments A (vn 2 and va) and B (tpt 3) occur in b.24. T-3 shares segment A; ob 1 states segment B of T-3 (b.24) and lower vc unfolds segment C in b.22 (added C♯).
Upper solo vc presents segments C and B of T-10 (b.22-beg. b.24), and solo vns briefly sustain segment A (end b.22-beg. b.23). Viola has segments C (minus G♯) and B of T-2 (b.22-23); segment A is not apparent.

Picture Trope TI-8 in tpts (b.25), with ④ stated melodically by bcl, bn 1 and lower vc, clarifies Lulu's admission, "Mein Mann mag es nicht". Reference to the Painter is accompanied by his Dyads of I-3, between ob 1 and vn 1, b.28. Horns (b.28-end 2nd beat b.31) recapitulate, augment and extend the violin figuration of Act I/1 (2nd beat b.134-136), which accompanied the Painter's restlessness prior to the Canon. The horns initially (b.28-end 2nd beat b.29) oscillate on the final (6-12) and third (9-3) Dyads of I-3. In b.31, Painter Dyads I-11 are formed between hns and Lulu, who has notes 1-4 of BS I-11. This is similar to the presentation of Painter Dyads I-9 between the Painter and vn 2 in b.136 (I/1). Horns (II/1) complete the figuration with the final two Dyads (5-11 and 6-12), until beg. b.32. Solo cello (end b.28-31) recapitulates the figuration of bns (I/1, b.134-beg. b.136), i.e. melodic Painter Chords ① and ③ of P-5; as

before, Chord ② appears in hns 1.2 (end 2nd beat b.29-beg. 3rd beat b.30).

Aware of the uncomfortable atmosphere, Geschwitz prepares to leave. She glances once more at Lulu's portrait and P.T. TI-11 occurs in fls and obs (b.32-beg. b.33) with hn 2 completing ②. The initial A♮ (fl 1's continuation of the vocal line) incorporates an overlapping P.T. TI-2 in conjunction with hns (①, incomplete ②,③, and two pitches of ④ in fls and ob 1). Depiction of the portrait is thus reduced, compared with that of b.22, since no attention is drawn to it. Similarly, Geschwitz's Trope in str is reduced to segments C and B of T-2 in solo vc (end b.31-32, doubled initially by the rest of vc and later by solo va), with segment A in hns (mid. b.32).

Geschwitz's greeting to Lulu is bounded by a melodic and harmonic BC IV (b.33-34), comprising BC V in an uncharacteristic timbre (pf) and register, due to shifted significance. It forms segment A of T-1. Segment C unfolds in her vocal line, and B of TI-6 (end b.34-beg. b.36) overlaps on the repeated D♮.

Her exit is accompanied by segments A (hp, vn 1, b.38-39) and B (vc) of TI-4, which anticipate Schön's "Das mein Lebensabend".

"Das mein Lebensabend"/Arietta[165] (b.40-60)

Schön's monologue is based on the segmentation of his I-9 into notes 1-5

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[165]Perle's suggested title is adopted here. Lulu's solo at the conclusion of II/1 and Schön's solo, Das mein Lebensabend, at the beginning of the same scene "are obviously, both musically and dramatically, counterparts of one another; yet Lulu's solo is entitled Arietta, while Dr Schoen's solo has no appellation." See Perle, "Lulu : The Formal Design", pp. 180, 186. In The Music, p. 202, Jarman adopts the title 'Ballade' from one of Berg's sketches.

and 6-12, i.e. "white-black-note" dichotomy.[166] Geschwitz's anticipatory segment A (as a fourth-dyad) is thus equivalent to his opening perfect fourth (vocal line, b.40 : Schön's I-9, notes 1-5). Segment B and his first five pitches can be rearranged to form BC II (G,D,C,B,F♯-inversion, and E,A,B,C,F, respectively).[167]

Notes 1-5 are confined to the vocal line or upper instrumental parts, e.g. b.51 (repeated setting of Schön's "Das mein Lebensabend") and as BC II in b.52 ("Der Kerl hat Mut!"), which Lulu later repeats to "Er ist Akrobat" (b.384-385).

The last three notes and first three notes of the Acrobat's P-4, in a cyclically permuted version, are equivalent to the first hexachord of Schön's I-9,[168] and therefore also contain BC II (E,A,B,C,F). This BC II occurs harmonically as a component of the rhythmic fate motive (b.48-50, obs, enghn, hp, pf, vn 1).[169] It is stated harmonically in pf (end 1st beat b.51-52) and hp (mid. b.52) before descending melodically in retrograde (final beat b.52, with added E♮-mid. b.53).

Schön's persecution mania is represented by a bass ostinato,[170] comprising notes 6-12 (bns, end b.39-49, 53-56, and gradual disintegration until b.59) and the isorhythm: for Lento (♩=52) sections at the

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[166]This is also a feature in the Lyric Suite, first movement, and the second setting of "Schliesse mir die Augen beide".

[167]Segment B, transposed and inverted to T-7, is identical in pitch content to notes 1-5 of Schön's I-9; notes 6-10 of I-9 can also be rearranged into an inverted BC II (E♭, B♭, A♭, G, D).

[168]Jarman, "Dr. Schön's Five-Strophe Aria", pp. 31-32.

[169]With the exception of G♯/A♭, beg. b.50, which initiates the piano oscillation until b.51.

[170]Reminiscent of the Doctor's idée fixe in Wozzeck's Passacaglia (I/4).

beginning and end of his Arietta, i.e. 8+8 statements.[171]
Canonic imitations and doubling by other parts depict the intensification of his suspicions, e.g. va (b.42-45), bcl (end b.47-49), str (end b.49-53), pf (mid. b.53-59) and dbn (mid. b.49, end b.56-58).
The faster, central section (♩= ca 66, b.45-53) depicts imaginary confrontation with his persecutors, i.e. Schigolch (Y and Z of T-4, vocal line, b.46-47) and the Acrobat (vocal line, b.52).

Schön's consideration of his sanity is accompanied by sequential statements of his P-5 : notes 1-4 (hns, va, mid. b.53), 5-7 (vocal line, end b.53-54), 8-12 (cl 1, vc, 2nd beat b.54), P-7 : 1-4 (hn, va, mid. b.54), 5-7 (vc, b.55), 8-12 (asax, 2nd beat b.55), and P-9 : 1-7 (trbn 1, mid. b.55-56), 8-12 (vn 1, mid. b.56).
Oscillations in his vocal line (b.54-55), cl 1 (final beat b.54-55), asax (mid. b.55-58), trbn (2nd beat b.56-57) and vc (2nd beat b.55-beg. b.58) portray his mental state further.

He concludes with "Der Schmutz ... der Schmutz ...", set to a descending BC I, at primary pitch level, whilst trbn 1 and vc descend chromatically (b.58) and initiate segment B of Geschwitz's T-6 (E♭,E♮). Violin 1 completes the segment (H, b.59), vn 2 sounds segment C (minus A♮, mid b.59-beg. b.60), and bns and pf sustain segment A into Lulu's Kavatine. Lulu's thoughts upon entering ("in Gedanken noch bei der Geschwitz")[172] are therefore realised by the music.
Another idea enters her head: fl and vib's first eight notes of her P-7 (b.60) initiate her Cavatina.

The Manservant admits Alwa in b.239 and exits. The others are in their

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171Cf. Jarman, The Music, pp. 161-162.

172Absent in Wedekind, IV/2.

respective hiding places, including Geschwitz (behind the fire-screen), but Schigolch's visible and audible exit arouses Alwa's curiosity. In order to distract him, Lulu draws attention to herself by asking "Wie findest Du mich?" (b.242). Alwa responds with his Rondo exposition, thus recapitulating (transposed) and continuing the Andante of I/3 (b.1020-1039).

Alwa's Rondo[173]

The Rondo is distributed over the two scenes of Act II and consists of an exposition (II/1, b.243-336), middle section (II/2, b.1001-1058) and recapitulation (II/2, b.1059-1096).

> It ... includes both the delicate and passionate love scenes in the opera. Berg once characterized the Rondo with the motto: 'As the artist sees Lulu, and as she must be seen so that one can understand that - despite all the frightful things that come about because of her - she is so beloved.' So the Rondo, whose first part dies softly away at bar 336, has become the lyrical main piece of the whole work, the proclamation - in the centre of the opera - of Berg's especial affection for his last operatic figure, who was to illuminate even the fevered fantasies of his last hours.[174]

The various sections of the Rondo are not as highly differentiated as those of the Sonata, in terms of textual-musical assocations. Carner writes:

> Its dialogue has a markedly less dialectic character than the other piece. In fact it centres largely on Alwa, with Lulu participating in it far less than she does in her scenes with Schön. Though the rondo is formally a complex piece it is, in tune with the dialogue which expresses feelings rather than thoughts, simpler of texture and less intricate in the serial treatment than the more 'intellectual' Schön sonata.[175]

The tempo indication for Alwa's Rondo is ♩ = 69, i.e. a multiple of Berg's fate number 23.

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[173]The title 'Rondo' was designated by Berg only in the Lulu Suite (first movement). See Perle, The Operas Vol. 2, p. 241.

[174]Reich, The Life and Work, p. 168. "... er machte leise Dirigierbewegungen und rief mehrmals: 'Ein Auftakt! Ein Auftakt!'", according to Reich, "An der Seite von Alban Berg", p. 42.

[175]Carner, Alban Berg, p. 224.

Rondo exposition (b.243-336)

The Rondo's exposition comprises a main theme (Part 1 : b.243-249, Part 2 : b.281-286, 298-306), bridge theme (b.262-267), subsidiary theme (b.268-273, 275-280), transition (b.306-309) and closing theme (b.318-336), interrupted by the Manservant (Chorale theme: b.250-261, 287-297) and tumultuoso[176] hide-and-seek passages (b.274, 294, 310-317).

Lulu and Alwa's initial spoken dialogue is accompanied by the Rondo's lyrical and tentative principal theme, Part 1, in vn 1, i.e. Alwa's P-2: 1-6, [7 in vn 2], 8, [9 in db], 10-12 (end 1st beat b.243-4th beat b.245). Its related consequent phrase is based on Alwa's P-4 : [7 in vc], 9,8, 10-12, 1-6 [7, 8 in asax], 9, [10,11 in asax], final beat b.245-beg. b.249; the reordering of notes 9,8 is determined by the conclusion of BC I in vn 2 (A,D,E♭,A♭).[177]

The rest of the accompaniment is based on Schigolch's Trope,[178] i.e. the mystery of Lulu.

Lulu's glance at her portrait and the accompanying P.T. TI-7 (trbns, b.248-249), after telling Alwa that "Als ich mich im Spiegel sah, hätte ich ein Mann sein wollen, ... mein Mann!", is Berg's own symbolic addition.

The Manservant enters with their dinner, to a restatement of the Chorale in ww (b.250-261). Previously (I/3, b.1113-1122), it occured in str. At the

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[176]Jarman adopts the title 'Burlesque', from one of Berg's sketches ('Burleska'), for these passages, in The Music, pp. 202, 205.

[177]Due to invariant 2- and 3-note adjacencies between P-2 and P-4, notes 9,8,10 of P-4 equal notes 6,7,8 of P-2. Earlier (I/2, b.808-811), this relationship, between Alwa's I-7 and I-1 was exploited more extensively. See Perle, The Operas Vol. 2, pp. 97-98.

[178]See Appendix A for details.

top of a sketch for the Manservant's derivational unfolding, Berg wrote that he is "dependent on Alwa, Lulu and Schoen".[179] His Series, P-5, derived by extracting notes from successive statements of Alwa's P-5, BS (Lulu) P-3 and Schön's P-8,[180] is presented by his associative instrument, solo va (b.250-251, with notes 1 and 12 in ob 1 and db, respectively, beg. b.250; also end b.257-beg. b.260 : 1-9, with note 10 in vc, end b.259).[181]

The topic of the Manservant's unusual behaviour is set to his P-5 (vocal lines, b.252-256 : 12,1-11).[182] A cyclically permuted version of Alwa's P-5 (solo va, b.260-261 : 2-5, (11), 7-10, (6), 12,1) accompanies his slow exit (↓), punctuated by glances at Lulu's portrait (¦↓).[183] The harmonisation of the Chorale theme is permeated by the Picture Trope.[184]

The Rondo's bridge theme in hn 1 (b.262-mid. b.263) is a continuation of b.249, with repeated RX of Schigolch's T-8, followed by RX of T-0. Lulu's vocal line (Sprechstimme) and the rest of the accompaniment are also based on Schigolch's Trope,[185] but she and ob 1 deviate to Schön's repetitive

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[179]Hall, "Derivational Unfoldings in the Sketches", p. 11; ÖNB Musiksammlung F21 Berg 28/XI fol.1.

[180]See p.77 above.

[181]The Prince (Act I) and Marquis (Act III), with whom he shares the Series, are represented by solo vc and solo vn, respectively. Their minor roles are emphasised by the fact that they do not have individual rows.

[182]The Series is usually cyclically permuted.

[183]This emphasis on Lulu's portrait is absent in Wedekind, IV/7 or its earlier counterpart, III/4.

[184]See p.77 above.

[185]See Appendix A for details.

P-5 (note 12, in asax, mid. b.267), when he is mentioned (b.266-mid. b.268).

Lulu confides in Alwa during this bridge section, which serves as a catalyst for further emotional revelations from Alwa. These are accompanied by Rondo's subsidiary theme, e.g. Alwa's P-8 in hn 1 (b.268-2nd beat b.270, with note 6 in vocal line), Alwa's P-10 (1-9) and I-10 (1-9) in fls (end b.274-277), and as they intensify, the principal theme, Part 2, e.g. Alwa's P-4 (1-9,6,10,11) in tpt 1 (b.281-284, with note 12 in hn 1, b.285), and closing theme, e.g. Alwa's P-1 in cl 1 (b.319-beg. b.323) which doubles the vocal line.[186]

Likewise, the vocal techniques reflect the gradation of expression : spoken ⟶ Sprechstimme ⟶ parlando gesungen ⟶ poco cantabile ⟶ molto cantabile.

Lulu's claim that Alwa is the only man who could protect her without causing her self-humiliation, is compared with the Painter's condescension, i.e. accompanying Painter Dyads I-8 and its inversion, in cls (end b.270-3rd beat b.272, with note 11(F) in pf). Alwa's admission that it was not easy (b.273), gradates from gesprochen to ganz gesungen and melodically unfolds the sustained components of Schigolch's T-9 in ww and brass (b.272-273 : tpt 1 has segment X, tpt 2 the final three notes of Z, whose initial F♮ is sustained by cls, and tpt 3, Y, completed by bcl).

This pregnant moment is interrupted (for the audience only) by Schön's rhythmic exclamation: "Mein eigener Sohn!" The accompaniment exploits the

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[186]See Appendix A for intermediate details.

father-son relationship between their Series, as it does in later tumultuoso passages. The minor (son) and major (father) triads which open Alwa and Schön's P-3, respectively, are isolated by trbns (b.273-274). Their dynamics (ppp ═══ sffz) depict Schön's cautious curtain-parting and consequent outburst away from the stage.

Schön and Alwa's P-3 have notes 1,4,7 and 10 in common. Alwa's dependency on Schön is symbolised in b.274 by va's dependency on vn 1 to supply three of these common notes, i.e. vn 1 has notes 3-12 of Schön's P-3 and va notes 12 (or 3 of Schön's P-3), 5,6,8,9,11,(4) of Alwa's P-3; note 1 for both is sustained by vc.

Alwa's remark that Lulu's heaven-sent gifts induce corruption, unbeknown to the victims, is reminiscent of the Animal Tamer's introduction. This reference to contrasting active and passive intentions is mirrored by the prime and inverted forms[187] of Alwa and Schön's Series in the accompaniment : Alwa's P-10 (1-9) and I-10 (1-9) in fls (end b.274-277), and Schön's P-4 (4-8) and I-5 (1,3-8) in cls (end 2nd beat b.275-277, with P-4's opening A^{5}_{3} in bcl, asax, bn 1, hp, beg. b.275).

The accompaniment thus simultaneously identifies two victims.

Alwa admits his imperfection: "Ich hab' auch nur Fleisch und Blut" (b.277), which the Manservant anticipated in b.256 ("Man ist auch nur ein Mensch!") and which Wozzeck, Berg's earlier alter ego,[188] uttered to the Captain (Wozzeck, I/1, b.141): Example 25

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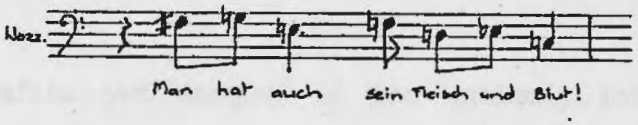
[187]A feature of Lulu's forthcoming Lied.

[188]"There is a bit of me in his character, ..." (Berg's letter to Helene, dated 7 August 1918). See Berg, Letters to his Wife, p. 229.

EXAMPLE 25



In Lulu, the vocal line is transposed a major ninth higher and rhythmically diminished. The dramatic context of each is similar, viz. the conditions conducive to morals or virtues, or the lack thereof. Wozzeck suggests that if he were a lord, equipped with the associative accessories, he would be virtuous too, as opposed to Alwa's unfinished suggestion that if he and Lulu had not grown up together as brother and sister.

The latter's musical setting has a sequence-like contour and the initial four notes ("Und wenn wir nicht ...") are a transposed version of Wozzeck's first four pitches for "Ja, wenn ich ein ..." (C,D♭,E♭,F, Wozzeck I/1, b.142).

Lulu interrupts Alwa to emphasise their platonic love, which does not threaten her (b.278-280). But he continues with the confession, "Ich versichere Dir, es gibt Augenblikke, wo man gewärtig ist, sein ganzes Innere einstürzen zu sehen", during the principal theme (Part 2), in which the bridge theme (Schigolch) forms the accompaniment (vn 2, va, b.281-285, anticipated by hn 1, mid. b.280).

The ordering of Alwa's P-4 in his vocal line (b.281-284) reflects his inner turmoil, namely, notes 1,3,1,3,2,1,3,2,4,2,3,4,6,8,9,6,9.

One wonders why he made such a potent statement in the first place, if he seeks no resolution ("Aber sprechen wir nicht davon ...!", b.285-286). The element of suspense is echoed by ostinati in cls (notes 6-9 of Alwa's P-4) and vn 1 (notes 2,4,5 of P-4), end b.285-286, and oscillations in hn 1 (end b.284-286 : notes 11 and 12 of Alwa's P-4) and vc (notes 1,3, of P-4).

Naturally Lulu falls for the bait. Her curiosity is accompanied by a recapitulation of the principal section (Part 2), b.298-302, with altered

orchestration. The passage of suspension (oscillation and ostinato) is transposed and expanded (b.303-305), leaving Lulu none the wiser.

This takes place after yet another of the untimely interruptions, which characterise the entire Rondo exposition,[189] viz. the re-entry of the Manservant. The second restatement of his associative Chorale (b.287-297) differs from its first restatement (b.250-261), because the Chorale theme (unmarked), in solo va, unfolds independently of the woodwind harmonies, but sustains the notes which generate the Manservant's P-6 according to the note-grouping: 1,2,3,4,5,6,5,4,3,2,1, which is also echoed in the ww. In addition, the Chorale theme and its shifted harmonisation (ww) are transposed a semitone higher than its precursors, i.e. the theme comprises Alwa's P-6, BS P-4 (2,1,[190] 3-11,[191] 12) and Schön's P-9 (1-7,8,[192] 9-12); its 'harmonisation' initially (b.287-beg. b.289) outlines the Painter Chord element[193] by sounding the augmented triad inherent in Chord ① (I-3 or P-3), the diminished triad of ② (G-A♯-C♯ of I-0 or P-8) and the tone-major third of ③ (D♯-F-A of I-0 or I-6, P-2 or P-8) - for the rest, its constituent Picture Tropes are transposed a semitone higher.[194] The Manservant's P-5 (1-8), in the vocal lines (b.289-292), is the only

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189 Needless to say, these interruptions and the dramatic events separating the exposition from the middle section and recapitulation are not included in the Lulu Suite's Rondo (b.9-70). There the Rondo is introduced by an Andante (unrelated to that of I/3), which appropriately represents Lulu's Entrance Music.

190 If F♮ (final 𝅘𝅥𝅯 of quintuplet, b.290) is meant to be F♭.

191 G♭ (3rd 𝅘𝅥𝅯 of quintuplet, b.292) should be G♮. See Perle, "The Score of Lulu", p. 132.

192 G♭ (final 𝅘𝅥𝅯 of triplet, b.294) should be A♭. Ibid.

193 Cf. woodwind, b.250-mid. b.251.

194 See p. 77 above.

element repeated at identical pitch. Consequently, this passage no longer represents a derivational unfolding, but suggests rather the Manservant's emancipation.

Schön reappears during the Chorale and, undetected, observes their interactions, concluding that the Manservant is another of his persecutors. As in the earlier tumultuoso bar (294), he is accompanied by the juxtaposition of his and Alwa's P-5,[195] in hns (b.294: notes 4-12)[196] and trbns 2.3 (5,6,8,9,11,12), respectively, preceded by their opening minor (Alwa) and major (Schön) triads (trbns, b.291-2nd beat b.294); similarly for their P-1, b.295-297.[197] In each case the sustained fourth (trbns 2.3) initiates the first hexachord of the Manservant's P-5 and P-1 in pf, b.294 and 296 (notes 3-6), respectively.

The transition (b.306-309) anticipates the Rondo's coda section (b.318-336), dramatically and musically. Lulu offers her hand as a guarantee for no further inquiry. Alwa's passionate reaction causes her to ask him, "Was tust Du? ..." (b.309). The coda represents his reply. His retention of her hand throughout the next interruption provides a physical link to the coda, just as a sustained chord would.

The accompaniment's presentation of Alwa's P-5 and P-9 in vn 1 (b.306-beg. b.308 : 1,2,4,6,10-12, with notes 3,5,7-9 in the rest of vc) and solo va (b.308-309 : 1,2,4,6 with notes 3,5,7-9 in solo vc and 10-12 in vn 1),

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[195]Pitch level associated with the Manservant.

[196]B♭ should be A♮ (note 5). See Perle, "The Score of Lulu", p. 132.

[197]In b.297, E♭ (trbn 2) should be E♮ (11 of Alwa's P-1). Ibid.

respectively, is related to the juxtaposition of Schön and Alwa's P-7 in the final, subito tumultuoso interruption (b.311-316:[198] Schön identifies the Acrobat as another persecutor), and reappears in the coda (b.318-319, Alwa's P-2: 1,2,4,6 in vn 1, 3,5,7-9 in va, after tied G♭, and 10-12 in vc; b.323-mid. b.324, Alwa's P-8: 1,2,4,6,10-12 in vn 1 and 3,5,7-9 in vc; similarly for P-3 in b.326-327, between asax and vn 2, P-4 in b.328, between asax and vc, and I-2 in b.334-335, between Alwa and solo vn 1, which begins end b.334).

The isolation of notes 3,5,7,8 emphasises the relationship with the Rondo's bridge theme, i.e. RX of Schigolch's Trope, and assists detection of Alwa's P-0 (minus 11,12), b.326-beg. b.327 : [harmonic 1 and 2 in vn 2 and va, respectively], 3,5,7-9 in vc, [4 (vn 2), 6 (va), 10 (vn 2), simultaneous with 5,7,9], and I-8 (minus 11,12), b.333-mid. b.334 : [1 in hn 1 and vocal line], 2,3,5,7-9 in vn 2 [4,6 in vocal line simultaneous with 5,7, and 10 is in vn 1, end 1st beat b.334].

Karl Kraus' introductory lecture at the first performance of Pandora's Box (29 May 1905 at the Trianon Theatre,[199] Vienna) began with the coda's opening line:[200]

> 'A soul rubbing the sleep from her eyes in paradise.'
> ["Eine Seele, die sich im Jenseits den Schlaf aus den Augen reibt ..."] A poet and lover, vacillating between love and the artistic design of the beauty of woman, holds Lulu's hand in his and utters words that are the key to this maze of femininity, to this labyrinth in which many a man lost track of his reason ...[201]

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[198]See Appendix A for details.

[199]Karen Monson, Alban Berg (London: Macdonald General Books, 1980), p. 256.

[200]Wedekind's Erdgeist IV/8.

[201]Karl Kraus, Literatur und Lüge, opening piece, as quoted in Reich, The Life and Work, p. 156, n. 17.

His speech deeply influenced "Berg's attitude to the subject-matter, and Wedekind's characterisation of Lulu."[202]

"The frequent coloratura passages in Lulu's part are supposed to hint - by stylization - at that unreal sphere in which the heroine of the opera - 'Night changeling of love' as Kraus called her - moves with dreamlike virtuosity."[203]

Berg acknowledged his indebtedness to Kraus, on the occasion of his sixtieth birthday (28 April 1934), with the musical excerpt from the coda (b.318-323) and the following letter:

> Permit me, honoured Mr Karl Kraus, to greet you on your sixtieth birthday as you will be celebrated on your hundredth birthday by the whole world - both the German speaking world and the Austrian thinking one. That is, as one of the greatest Austrian artists, as one of the greatest masters of German.[204]

Jarman points out that "the unambiguous F sharp minor centre" is associated with the coda's significant opening line (i.e. subdominant of "the D flat primary tonal centre associated with Dr Schön") and "recurrent references to Lulu's eyes", e.g. "In Deinen Augen schimmert es, wie der Wasserspiegel" (II/2, b.1037-1039) and "Wenn Deine beiden grossen Kinderaugen nicht wären" (b.1076-1079).[205]

The presence of the Picture Trope, during the ensuing question-answer

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[202]Reich, "Alban Berg's Lulu", p. 400.

[203]Reich, The Life and Work, p. 160.

[204]Ibid., p. 32.

[205]Jarman, The Music, pp. 99-100.

passage (b.324-329),[206] underlines the analogy with the Duet between Lulu and the Painter (I/1, b.305-321). Furthermore, Lulu's horrified "Sieh' mich nicht so an um Gotteswillen!" (b.330-331) is reminiscent of her "Lassen Sie mich! Sie sind verrückt!" (I/1, b.313), and her reply "Ich weiss es nicht"[207] (II/1, b.335) to Alwa's question, "Liebst Du mich, Mignon?" (end b.333-335), was repeated throughout the earlier Duet.

Alwa's declaration of love for Lulu is accompanied by a pause on the Tristan chord[208] (b.336, vns, va, vc), which was anticipated melodically by vib, b.335.

Lulu's unexpected, rhythmic declaration, "Ich habe Deine Mutter vergiftet ..." (b.337), over the sustained f♯$^{6}_{4}$ opening of Alwa's P-1 (trbns), bridges the conclusion of the Rondo's exposition and the consequent tumultuoso.

Tumultuoso (b.338-379)

Once again, the tumultuoso represents an active episode in which the corresponding dramatic and musical events are meticulously annotated. The Acrobat peers through the curtain, to the exposition's concluding pitches

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[206]See Appendix A for accompaniment details, until the end of coda.

[207]Berg's substitute for Wedekind's "I? Not a soul!" (IV/8) in The Lulu Plays by Frank Wedekind, p. 93.

[208]Patricia Hall, "Role and Form in Berg's Sketches", Fig. 2/Ex. 2. In a sketch of "victim/client" pairings (ÖNB Musiksammlung F21 Berg 28/III fol. 34'), Berg wrote "Alwa Tristan jugendl. held" (ibid).

(vib, b.335-336 and str, b.336) in hns, b.338, sees Schön (trbn F♯♮), and draws attention to Lulu and Alwa as the first hexachord of the Acrobat's P-O unfolds between cls 2 and 3 (b.339); cl 1 gives BC II (E,A,B,C,F), inherent in P-O (1,2,3,10,12) and the first five pitches of Schön's I-9 (Arietta's "white notes"). When Schön points his revolver at him, he indicates Alwa as target, to the accompaniment of P-O's second hexachord and the retrograde of this BC II[209] (b.340-341).
The latter is transposed (A♭,E♭,D,C,G) as the Acrobat returns to his hiding place behind the curtain (b.342-344, pf). Lulu notices his withdrawal and discovers Schön to her I-2 in cl and hp (end b.342-beg. b.345).

The juxtaposition of Alwa and Schön's Series in str,[210] preceded by their respective minor-major openings in brass,[211] dominates the music and intensifies as Schön approaches the unsuspecting Alwa (b.338-349).
His words, "In Paris ist Revolution ausgebrochen" (end b.349-351), repeat those of Alwa, which accompanied the latter's unexpected appearance at the Painter's suicide-scene (I/2, b.789-793). The setting is transposed to Alwa's P-4 : 1,2, [3,4 sustained by cls 2.3 and vib], 5-12, as in I/2, b.804-808. Similarly, with Schön's repeat of "In der Redaktion weiss keiner, was er schreiben soll ..." (b.354-355) from I/2, b.808-811 (Alwa). It is transposed, i.e. simultaneously represents Alwa's cyclically permuted I-5 (5,6,8-12,1,2,5) and RI-11 (7-11, 1-3, 7); as before, the missing notes are present in the woodwind tremolo.

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[209]Cf. the horns' presentation of P-O, b.225-226, preceded by BC II in the vocal line.

[210]The accentuation < and ▾ differentiates their Series.

[211]See Appendix A for details.

Schön's energetic eviction of Alwa is accompanied by emphatic statements of his Series, prefixed and punctuated by Alwa's corresponding minor $\frac{6}{4}$ opening ((end b.355-beg. b.360).[212]

Immediately after their exit, the Acrobat bursts out of his hiding place and darts towards the stairs. This is depicted by three ascending statements of BC II in pf, cls and bcl (end b.361-beg. b.363), which change direction as Lulu blocks his path (RBC II, b.363).

Reference to Schön's wrath is accompanied by a melodic figuration (b.363-371), which relates this BC II (common to the Acrobat's P-0 and Schön's I-9) to the invariant dyads of Series A.[213]

Series A can be arranged symmetrically as a sequence of semitones around its two semitone-dyads:

EXAMPLE 26[214]

The contrary chromatic movement between upper and lower parts is reminiscent of the chromatic consequent, which appeared in the Sonata's exposition,[215] e.g. I/2, b.535-536, ww : notes 9,10,12 of Schön's simultaneous P-1 and I-8.

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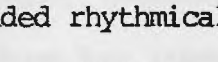
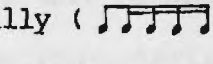
[212]See Appendix A for details.

[213]See p. 57 above (origins) or p. 109 below.

[214]Jarman, "Dr Schön's Five-Strophe Aria", p. 35 and Ex. 18.

[215]Ibid.

The outer notes of the figuration (cls, hp, pf) are extended chromatically in contrary motion to form Series A dyads, starting with those of RBC II (E-F or b of Ex 26): pf and cl 2 have E♭-F♯ (b.364-beg. b.365), hp and cl 1 D-G or fourth-dyad II (b.365-beg. b.366), and pf and cl 2 C♯-G♯ or fourth-dyad I (b.366-beg. b.367). Dyad A-C is present in the constant, central three-note group, separated by B♮ whose dyadic counterpart is the B♭ pedal in timp and db. These four pitches are isolated by btuba and db, b.367-368, 371-372 and 377-378 (disintegration in btuba until beg. b.380), i.e. X of Schigolch's T-9 or hint of the Rondo's bridge theme.

The figuration is then retrograded rhythmically ( becomes ) and dyadically by fls and vns, b.368-371. "Although it is unlikely that the listener will be aware of the invariant dyads of Series A in this passage, the relationship between the five-note "white-note" chord of the arietta and the dyads of Series A is exploited in a more obviously perceptible way at the opening of the second strophe of the aria."[216]

The ascending BC II (pic, fl 1, hp, pf, b.371-372) stalls on repeated F and descends rapidly in retrograde form (b.373-377), thus mirroring the Acrobat's reaction to Lulu's warning, "Er kommt!" He narrowly misses Schön by hiding behind the portière. Schön re-enters with revolver in hand, expecting to find the Acrobat in his old hiding place, behind the curtain. The opera's rhythmic fate motive is struck by the large Tam-Tam (b.378-380); pf concludes vc's fate motive (b.378-379) and simultaneously provides the final pitch for the gradual superimposition of its constituent BC II pitches in vc and va.

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[216]Ibid., p. 36. See p. 113 below.

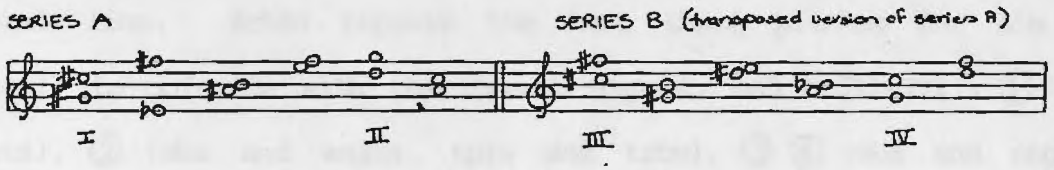
The Introduction (b.380-386) to Schön's five-strophe Aria is based on b.48-52 of his Arietta (II/1), i.e. notes 1-5 of his I-9 (or BC II), stated harmonically as the rhythmically augmented fate motive, and notes 6-12 forming a bass ostinato. His vocal line (end b.380-384) emphasises this division.

Schön's Five-Strophe Aria (b.387-490, 539-552)

Schön's five-strophe Aria represents his furious, final confrontation with Lulu. It "sums up the different thematic and harmonic characteristics associated with Dr Schön and shows how these characteristics relate to one another, and also shows the way in which these characteristics relate to and interact with the other basic material of the opera."[217]

The Aria is based on two Series of invariant dyads, A (e.g. pairing of Schön's P-1 and I-8)[218] and B (e.g. pairing of Schön's P-6 and I-1):

EXAMPLE 27*



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[217] Jarman, "Dr Schön's Five-Strophe Aria", pp. 46-47.

[218] See pp. 57-58 above.

* Jarman, "Dr Schön's Five-Strophe Aria", p. 34 and Exx. 15 and 16.

Jarman points out that the use of these invariant dyads is rarely found in Berg's works, unlike those of Webern.[219]

Series A dyads dominate the first two strophes and Series B, the last three. Lulu's five-strophe Lied, the counterpart of Schön's Aria, separates strophes four and five.

> These dyads affect the whole aria, organizing all the sections, subsections, and details however complex or apparently independent, and even determining the presentation of material associated with other characters such as the Countess Geschwitz or the Manservant. At the center of each of these series of dyads lie the two fourth-dyads which form a version of Basic Cell I : C♯-G♯ and G-D of Series A (dyads I and II) and F♯-C♯ and C-G of Series B (dyads III and IV).[220]

Strophe one (b.387-400) begins with the fourth-dyads I and II (Series A), superimposed as fourth chords (accompaniment, b.387-388), and melodically as BC I in Schön's vocal line; the foreign F♯ (ob 1 and vib) is perhaps related to the ascending perfect fourth sequence in pf (b.391), as it is in b.392 (pf).

The opening idea of harmonic-melodic simultaneity is continued in b.389-391 for P.T. TI-10 in tpts and trbn (chords), with ①, ② and one note of ③ in the vocal line. Schön repeats the last three pitches for his "Du Würgengel!" to coincide with the chordal repeat, end b.391-392 : ① (ob 1 and tpts), ② (obs and enghn, tpts and trbn), ③ ④ (obs and enghn); similarly:

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[219]Ibid., p. 34, n. 15.

[220]Ibid., p. 47. The following section is based on Jarman's article. Dyads I, II, III and IV can all appear as either fourths or fifths, but they will be referred to as "fourth-dyads" here, for the sake of convenience, even when they appear as fifths (Ibid., p. 34, n. 16).

1. in the second strophe for P.T. TI-7 (2nd beat b.408-410): ①,[221] ②and one note of ③ in vocal line, and only a half-chordal ① in the dyadic oscillation of vn 2; ④can be found in vns and va, mid. b.410.

2. in the third strophe for P.T. T-7 (end 1st beat b.422-424): ①, ② and one note of ③ in vocal line, and only a harmonic ③ in hns and cl 3, beg. b.424; the pitches of 1 can be found in the piano oscillation, b.422. P.T. TI-2 unfolds independently in cls and hns, b.426.

   P.T. T-7 is related to strophe one's P.T. TI-10 because their sources, BS P-7 and I-10, demonstrate non-corresponding hexachordal invariancy. At these levels, the BS is divided into a "white-note" hexachord and a predominantly "black-note" hexachord, i.e. a dichotomy which is emphasised throughout II/1.

3. in the fourth strophe for P.T. TI-4 (b.445-447): ①, ②and one note of ③ in vocal line, i.e. a tritone away from strophe one's P.T. TI-10. Chord ① is sounded, mid. b.445, by bn 1, vn 1 and va, and ② by dbn, vn 1 and va, final beat b.446; ②, ③ and ④ are presented by bns and dbn, b.447-448, and ③ and ④ unfold melodically against their harmonic counterparts in bcl.

   First trombone, mid. b.469-470, repeats strophe one's vocal line (b.389-390), i.e. P.T. TI-10's ①, ② and one note of ③, but also completes the chordal presentation of ① in tpt and vocal line (end

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[221] D♭ (4th ♪, b.408) should be D♮ as in the vocal score.

b.469), ② in tpt 1 and trbn 3, ③ in trbns 2.3 and ④ in trbns (1st half b.471). As before, the Trope is repeated (cls, b.471-472) and resolved by dyad I (C♯-G♯) of Series A (beg. b.473).[222]

The dramatic significance of the Picture Trope's presence is unclear, but may be related to Schön's image of Lulu and his attempt to destroy her. It anticipates her Lied's third strophe (b.508-515), in which the Picture Trope accompanies her reference to Schön's deception of others and himself, i.e. a consequence of this distortion.

Fourth-dyad II (G-D) evolves into strophe one's orchestral melody (vn 1, b.388-beg. b.392) and its bass accompaniment (vc), which consist of Schön's P-2 and I-7, respectively, i.e. the invariant dyads of Series A and a rhythmically altered version of the Sonata's main theme (I/2, b.533-534: 𝅘𝅥𝅯𝅘𝅥𝅯 𝅘𝅥𝅯 𝅘𝅥𝅯. 𝅘𝅥 𝅘𝅥𝅯𝅘𝅥𝅯𝅘𝅥𝅯𝅘𝅥𝅯).

Both rows have fourth-dyad II as the first two notes of their first hexachord and fourth-dyad I (C♯-G♯) as the first two notes of their second hexachord. This property also appears in Schön's I-1 (but vice versa), which Berg uses for Schön's "Du Freude meines Alters! Du Henkerstrick!" (b.395-397, notes 1-11).

Series A dyads continue in str, b.392-400, between Schön's P-7 and I-2 : 8-12, P-0 and I-9 : 8-11, [12 in vocal line], 1, P-5 and I-4 : 1-10,12. The latter concludes strophe one with dyads I and II (notes 10,12)[223] and

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[222]Cf. beg. b.393 : obs, enghn (G♯)-tpt 1, trbn 1 (C♯).

[223]Notes 11, relegated to subsidiary parts, form dyad I.

is a rhythmically altered version of the Sonata's main theme's consequent phrase (I/2, b.535-536). Hence a relationship is established with the strophe's opening.

Other elements are recalled from Schön's Sonata, viz. the coda theme for his "Du unabwendbares Verhängnis!" (end b.392-394), with hns underlining its characteristic rhythmic fate motive, and a variation of the second theme in pf (b.395-399).

Lulu resorts to her favourite ploy: "Wie gefällt Dir denn mein neues Kleid?" (end b.398-400), in a setting of her seductive P-9 (1-8). The isolation of her P-8's cadential element in asax and hns (mid. b.399-mid. b.400)[224] underlines her attempt to end Schön's rage. But Schön continues furiously with strophe two.

Strophe two (b.401-415). The contrary chromatic movement in Schön's Series (notes 9,10,12), which ends strophe one, is inverted and developed at the start of strophe two, between hns 1 and 4 (final beat b.400-404), i.e. a sequence of Series A dyads. This passage exploits the relationship between the "white-note" Arietta-chord or BC II (harmonic E,A,B,C,F, in hns and bn 1, final beat b.400-401) and the invariant dyads of Series A. It represents a harmonic interpretation of the tumultuoso's chromatic extension earlier (b.363-371). The constant pitches - A,B,C - are retained by hns 2.3 (A-C) and bn 1 (B); the semitone-dyad B♭-B is present in b.403, between vn 2, db and bn 1; dyad I (G♯-C♯) is sounded in vns and vc-db (b.401-402), and concludes the horn-figuration (b.404), after dyad II (D-G).

Schön's reference to his son ("sonst schlägt's mir morgen über den Kopf -

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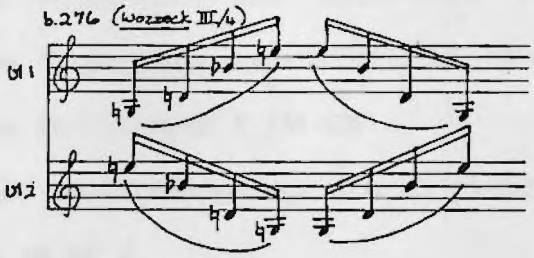
[224]See Appendix A for preceding details.

und mein Sohn schwimmt in seinem Blute!", end b.401-405) is set to Alwa's P-4, the first hexachord of which includes the "white-note" Arietta-chord. Violin 2 and va form a circular figuration with notes 10-12 of Schön's P-9 and I-0, respectively (b.404), i.e. Series A dyads. This suggests the pool of blood referred to by Schön and is reminiscent of Wozzeck, in which the circle and colour red played a symbolic role, e.g. earth's revolution, toadstools, "ring-a-ring-a-roses", red moon, etc. Three statements of a circular figuration accompany Wozzeck's "Ich bin blutig. Da ein Fleck und noch einer." (Wozzeck III/4, b.276-277, vns):[225]

EXAMPLE 28



The figurations of b.404-406 demonstrate note-pairing between the final five pitches of Schön's I and P rows to form Series A dyads. Each starts with a four-note chord containing dyad II.[226]

Schön's passionate solution for salvation is Lulu's death and BC I, overlapped by its variant, accompanies his conclusion, "Ich muss mich retten. Begreift Du mich?" (b.407-408).

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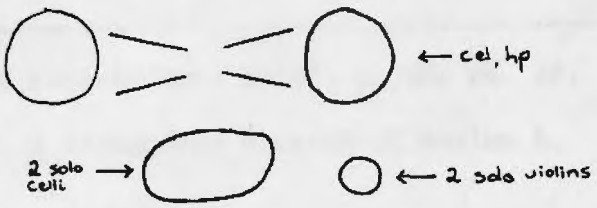
[225]See also Variation 12 of Passacaglia (I/4, b.561), where Wozzeck's "Linienkreise_Figuren_Wer das lesen könnte!" is accompanied by:



[226]See Appendix A for details.

A sequence of fourth chords, based on Series A dyads, is gradually built up on the contrary chromatic consequent. The figuration is initiated by asax and trbn 1, b.406, and the fourth-dyad I (b.408-409) initiates superimposition of fourths and inclusion of other instruments:

EXAMPLE 29[227]

Alternation between "white-note" and "black-note" chords is apparent at its peak (b.411). The figuration tapers off in tpts and trbns (b.413-beg. b.415) to end on the fourth-dyad I (A♭-C♯).

Needless to say, the semitone-perfect fourth element is directly connected to the constituents of BC I.

Series A dyads[228] can be arranged symmetrically as a sequence of fourths around either of its two fourth-dyads, just as it was arranged around its two semitone-dyads:[229]

EXAMPLE 30[230]

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[227]Based on Jarman, "Dr Schön's Five-Strophe Aria", p. 40, Ex. 28.

[228]Also applicable to Series B, a transposed version of Series A.

[229]See p. 107 above.

[230]Based on Jarman, Dr Schön's Five-Strophe Aria", p. 35, Ex. 17.

The constitution of the fourth-superimposition in Ex. 29 can be summarised in terms of Ex. 30, as follows:

Bar	Right-hand against Left-hand		Column - Ex. 30 (read melodically)
408-409 followed by	harmonic-melodic C-G	dyad I (A♭-D♭) A-D	
410 upper and lower parts exchanged	F♯-B-E	E♭-B♭-F	2 3 4
	E♭-B♭-F	F♯-B-E	3 5 4
	E-A-D	F-C-G	4 5 6
	melodic D-G, i.e.	dyad II into b.411	6
411	G♭-D♭-A♭-E♭	E♭-A♭-D♭-G♭	2 1
	F-C-G-D	E-A-D-G	4 5 6 *
412	F♯-B-E	E♭-B♭-F	2 3 4
	E♭-B♭	F♯-B-E	2 3 (4)
	D-A	G-C-F	6 5 (4)
413 (see score)	C♯-G♯	G♯-F♯-C♯	1 (2)
	C-G	A-D	5,6
	F♯-B	E♭-B♭	2 3
	B♭-F	B-tied E♭	3
	E-A	C-tied E♭	5
	A♭-E♭	C♯	1 (2)

*Cycle of fourths closed at the apex

The presentation of Series A dyads as a sequence of fourth chords, based on the contrary chromatic consequent, concludes the fourth strophe (b.486-490, brass, with inclusion of obs and cls, b.489). The figuration is a transposed version of that in strophe two. The slight dyadic displacement (e.g. initial dyads between tpt 2 and 3, and those between obs and trbn 2, trbn 1 and tpt 1, tpt 3 and tpt 2, b.489) is in keeping with the preceding canon by inversion (displaced Series A dyads) between fls (Schön I-10 : 1-9) and bns (Schön P-11 : 1-9), b.485-486. The figuration overlaps and completes the former, i.e. notes 9,10,12.

As before, the fourth-dyads I (G♯-C♯) and II (G-D) initiate the fourth-superimposition and addition of other instruments.

In the fifth strophe, the sequence of fourth chords, built upon the contrary chromatic consequent, is based on the dyads of Series B[231] (b.544-548, brass). The figuration evolves from notes 9 (fourth-dyad IV, G-C), 10,12 of Schön's paired P-6 and I-1 (tpt 1-trbn 3, b.544-2nd beat b.546), whose first eight pitches unfolded simultaneously in tpt 1 and trbn 1 (b.542-543 : Series B invariant dyads).
A harmonic BC I (B♭,E♭,E,A) occurs at the start of the perfect fourth-superimposition (mid. b.546). The figuration culminates in an eight-note fourth chord around fourth-dyad IV (G-C), which str emphasise as the rhythmic fate motive (b.548-549) and resolve into a fourth chord comprising the omitted dyads : G♯-B around F♯-C♯ (fourth-dyad III); it too is stated as the fate motive (end b.549-mid. b.551).

Unlike its precursors, the figuration moves outwards, chromatically, perhaps to portray the text: "Bete zu Gott, ..." (Schön).
On all three occasions, the revolver is the focus of attention, i.e. the symbol of passion and death, as is its constitutent semitone and perfect fourth or BC I.

Returning to the second strophe, the presence of Painter Dyads P-11 (minus final Dyad 6-12) in vn 1 (b.412), perhaps relates Lulu's collapse on the divan ("da die Kräfte sie zu verlassen drohen," b.411-412) to the earlier canon-conclusion-collapse on the ottoman ("auf der sie schliesslich wie gebrochen zusammensinkt", I/1, b.185-beg. b.186). In both cases, she does not take the situation seriously.

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[231]See p. 109, Ex. 27 above.

Painter Dyads P-8, between cl 2 and Schön's vocal line (b.413-414: "Soll ich Dir die Hand führen?"), underline the dramatic analogy with Lulu's request that the Painter do up her dress' hooks because "mir zittert die Hand ..." (I/1, b.353-354).

Schön's warning to Lulu that the revolver is loaded ("keinen blinden Lärm!", end b.414-415), is set to the final five pitches of his P-7.[232] His words are echoed by transposed, imitative entries in the orchestral accompaniment (b.415)[233] as Lulu raises the revolver to confirm his caution.

She fires a shot at the ceiling ("genau auf Eins"), causing the Acrobat to spring out from behind the portière, and exit tumultuoso. He is accompanied by his Trope in pf, and retrograded "white-note" BC II[234] paired with its inversion, a minor third below,[235] to introduce Series B dyads (minus fourth-dyad III) in ww and str (b.416-417).
Schön asks Lulu, "Was war das ...?" (b.418), but its setting (notes 1-3 of Acrobat P-7) suggests that he has some idea of what it was.

Series B dyads are gradually superimposed (ww and hns, final beat b.417-420), to the rhythm of the fate motive, and produce a ten-note chord based on the two versions of BC II, i.e. RIBC II and RBC II. It also represents

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[232]Emphasis on the final five pitches of his paired P and I rows occurred earlier (str, b.392-393) and accompanied his other warning as regards Alwa (str, b.404-406, and ww, b.405).

[233]See Appendix A for details.

[234]Based on the outer two trichords of his P-4 (12,10,3,2,1).

[235]Based on the inner two trichords of his P-4, except D: (4), 6,7,4,5.

notes 1-5 and 6-10 of Schön's I-9, associated with his Arietta of persecution, and is therefore suitable accompaniment to Lulu's reply, "Nichts. Du leidest an Verfolgungswahn" (b.419-421). The fourth-dyad III (C♯-F♯), missing from Series B, accompanies Schön's snatching of the revolver from Lulu (str, end b.420-421) and thus also leads into the third strophe.

Strophe three (b.421-441) begins with the superimposition of fourth-dyad III (str) and the chord formed from the other dyads of Series B (ww, hns, pf, b.421-422).

Unlike strophe one, the vocal line's BC I opening (b.421) is not derived from the fourth-dyads III and IV (equivalent of Series A's I and II), but from the semitone-dyads E♭-E and B♭-A. BC I, based on III and IV, occurs in hns 1.2, end b.423-424.

As in strophe one, the orchestral melody (vn 1, b.422-beg. b.426) and its bass accompaniment (vc and db) are paired to form Series B dyads,[236] i.e. Schön's P-1 and I-6, respectively, both of which have fourth-dyad III (C♯-F♯) as the first two notes of the first hexachord and fourth-dyad IV (C-G) as the first two notes of the second hexachord.

As before, this passage is a rhythmically altered version of the Sonata's main theme and is followed by emphasis on the final five pitches of Schön's paired P and I rows (str, b.426-beg. b.427 : Series B dyads).[237]

The latter concludes with notes 9,10,11 of Schön's simultaneous P-11 and I-8, viz. fourth-dyads IV,III,IV, to coincide with Schön's discovery of

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[236]Strophe one has Series A dyads - see p. 112 above.

[237]See Appendix A for details.

Geschwitz behind the fire-screen. Dyad IV is sustained by ww and db (b.427-431) to initiate simultaneous segments B and C of Geschwitz's Trope and its inversion, i.e. segments B and C of Geschwitz's TI-4 (pic : b.427-beg. b.435 and fl 1 : b.436-442) paired with segments B and C of T-3 (db : b.427-433, dbn : b.433-435, and bn 2 : b.436-442) to form Series B dyads, concluding with dyad III (F♯-C♯). The upper Trope is doubled at the fifth below and the lower Trope, at the fifth above to give segments B and C of Geschwitz's TI-9 (fl 1, b.427-431 ⟶ fl 2, b.431-442) and T-10 (dbn, b.427-432 ⟶ bn 2, b.433-435 ⟶ bn 1, b.436-442), respectively, i.e. Series B dyads emerging from dyad IV (G-C) and ending on dyad III (F♯-C♯).

This whole woodwind passage is based on these two pairs and there is extensive exchange of Trope pitches between instruments.

The chord F♯-B-A♭-D♭, end b.431-432, is repeated, end b.439-440, and can be interpreted as BC I variant B-F♯-A♭-E♭ (tone instead of semitone); b.433-435 and 436 have the fifth chord D-G-C-F; b.437-438 and 2nd beat b.441-442 have BC I variant A♭-E♭-E-B (fifths instead of fourths); BC I (E-A-B♭-E♭) occurs for the first two beats of b.439, and BC I variant D-A-B♭-F on the first beat of b.441. These chords supply segments A to their corresponding segments B and C in the rest of the orchestra (b.428-444).[238]

Schön's violent interrogation of Geschwitz ("Oder sind Sie auch Akrobat?", b.433-435) is accompanied by her T-7. At this level, her Trope demonstrates "white-black-note" dichotomy, analogous to the Acrobat's piano-trope. Segment A (G-D) is sustained by upper ww, and segment C unfolds in the vocal line and va (final beat b.433-1st beat b.435). The

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[238]See Appendix A for details.

pitches of segment B follow in vocal line, vn 1,[239] va and vc (2nd beat b.435-beg. b.436).

Strophe four (b.442-490). The opening of the longest strophe combines the fourth-dyads of Series B and A. Dyad III (C♯-F♯) occurs in ww (b.442, from 2nd beat) and str (b.442-beg. b.444); dyad IV (G-C) occurs between tpt 2 and trbn 1 (beg. b.442), tpt 1 and trbn 1 (beg. b.445), and melodically after the vocal line's opening BC I (b.444), which comprises melodic I (A♭-D♭) and II (D-G) of Series A, i.e. a tritone away from strophe one's vocal line (b.387-388). In strophe one, the two statements of BC I are followed by F♯, forming a melodic III, and the foreign F♯, in ob 1 and vib (b.387-389), sounded against C♯ can also be interpreted as III.

Dyad III evolves into a suggestion of Schön's paired I-6 (vn 1, b.443-445) : 2,1,9,1,5,6,7)[240] and P-1 (vc : 1,2,9,1,5,6,7)[241], i.e. rows with F♯-C♯ as the first two notes of their first hexachords and C-G as the first two notes of their second hexachords, producing Series B dyads. This is overlapped by the paired chromatic tails (notes 9,10,12) of Schön's P-10 and I-9 (b.445-beg. b.446 : Series B dyads diverging chromatically), which tpt 1 (I-10) and trbn 1 (P-9) anticipated (b.444-beg. b.445 : Series B dyads converging chromatically).

The pattern of P-I-matching, based on the chromatic tail of Series B dyads,

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[239] G♮ is an added note or part of segment A.

[240] Notes 8-12 of Schön's I-6 unfold in bn 1, b.445.

[241] Notes 8-12 of Schon's P-1 unfold in bn 2, b.445-446.

is repeated by vn 2 and va, between Schön's P-4+I-3 (2nd beat b.444-mid b.445) and P-3+I-4 (2nd beat b.446-beg. b.447). Its bridge, P-6+I-1 (b.445-beg. b.446), could be related to the opening's I-6 (vn 1 ⟶ bn 1) + P-1 (vc ⟶ bn 2).

The three-note group, simultaneous in vns, a major third apart (b.445-beg. b.448), descends in minor thirds, i.e. notes 9,10,12 of Schön's P-10, P-7, P-4, P-1 against P-6, P-3, P-0 and P-9.

Schön demands that Lulu shoot herself, because he wants no further role in perpetuating the corruption she induces ("Ich kann meinem Diener nicht helfen, meine Stirn zu verzieren", b.449-455). Mention of his servant (Lulu) accounts for Alwa's P-5 in the vocal line and va (end b.448-beg. b.453), i.e. the pitch level and orchestral instrument associated with the Manservant. The horn-figuration (b.448-454) perhaps represents his allusion to the devil's brow. Its first chord is derived from ④ of P.T. TI-4 (notes 10,11,12 of BS I-4 plus C), mentioned earlier.[242] The notes then move chromatically, as anticipated by str immediately before, converging in hns 1.4 and diverging in hns 2.3 as Series B dyads (minus the semitone-dyad E-E♭, but which asax unfolds melodically, b.448-453). The figuration concludes with oscillation, thus mirroring its opening (Schön urges Lulu to take the revolver) and anticipating Lulu's acceptance of the revolver, which is accompanied by her Series with its twisted prefix.[243]

The contrast of Lulu's suggested solution, viz. divorce, is defined by the re-establishment of Series A dyads. Schön's I-1 unfolds in bns, doubled in

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[242]See p. 111 above.

[243]See Appendix A for details.

part by his vocal line (b.453-455 : 1-9,10,12) at which level dyad I (C♯-G♯) initiates the first hexachord and dyad II (D-G) the second. These two fourth-dyads are isolated by vn 1, b.454-458, and I occurs between vn 2 and va, mid. b.458-459, concluding with dyad A-C. Dyad IV of Series B is presented between vn 2 and va, end b.456-mid. b.458. Schön's reaction, "Das wär' noch übrig" (b.458-459), opens with dyad I and repeats notes 4-6 of Lulu's P-8.

Alwa's P-4 setting for Schön's "Damit morgen ein Nächster seinen Zeitvertreib finde" (mid. b.459-mid. b.463), identifies Lulu's next 'victim', whose path of pleasure would follow the footsteps of Schön, where he "shuddered from abyss to abyss" (b.464-467 : Schön I-4).
With the exception of solo vc, which doubles the vocal line, the rest of the accompaniment (end b.458-471) is based on freely rhythmically augmented Canzonetta material (I/1, b.267-273), associated with the Medical Officer's death (Lulu's first 'victim'), e.g. Lulu's 'tripping' figure in cls 1.2 and pf (end b.458-460), cls 2.3 and pf (b.461-462), and obs, tpts 1.3 and pf (b.468-469); the setting for Lulu's "Er sieht mir auf die Füsse und beobachtet jeden Schritt, den ich tu'" (I/1, end b.267-270) is outlined by bcl (II/1, b.460-465).

The addition of BC I (cl 3, b.459-460, cl 1 and tpt 1 as dyads III+IV, b.462, vn 1, b.468-beg. b.469) underlines Schön's passionate words.

This is followed by a reprise (b.469-474) of strophe one's opening, i.e. P.T. TI-10,[244] Series A dyads on the final five pitches of Schön's Series in str (b.471-beg. b.473),[245] and the coda theme for Schön's retaliation: "Ich mich scheiden lassen!" (b.472-474). The latter clearly states the

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[244]See pp.111-2 above.

[245]Cf. b.391-393.

inherent rhythmic fate motive (underlined by sd) and is directly related to its Sonata-source (I/2, b.615-616),[246] i.e. Schön's P-8 : [1,2 in vn 1, vc and db - notes 11 of Schön's paired P-0 and I-9-beg. b.473], 3(F),4, [5 in db], 6,7, [8,11 in db, 9,10,12 in vc], 1.

Against this, asax has its transposed inversion, preceded by E♮ and ending on G♯ (instead of C♯), so that start and finish are identical. The first four pitches of the vocal line comprise two Series A dyads, viz. E-F and G♭-E♭; asax retrogrades these dyads (F-E, E♭-G♭) and together with the vocal line, produces Series A dyads (from 4th ♪, b.473) : E-F, E♭-G♭, G♭-E♭ and G-D (II).[247]

Schön defines divorce to the coda theme's intensified consequent phrase (I/2, vn 1, b.622-624), transposed a fifth lower (b.475-481 : "Lässt man sich scheiden, wenn die Menschen ineinander hinein gewachsen und der halbe Mensch mitgeht?"), i.e. Schön's P-9 (added A♭,1,4-6,8-10) entwined with str' BS P-9,[248] and an added BC I (B,F♯,F,C) conclusion. Violin 1's doubling retains the coda theme's fate rhythm (b.477-beg. b.481).

The setting for Schön's furious "Siehst Du Dein Bett, mit dem Schlachtopfer darauf?" (b.483-485) is a transposed (BS I-2 : 5-12, 1-5), freely rhythmically augmented version of the Painter's address to the Medical Officer's corpse (Arioso, I/1, b.332-333, vocal line completed by va and vc: "Ich möchte tauschen mit Dir, Du Toter!").

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[246]See p. 68 above.

[247]Perle, The Operas Vol. 2, p. 174; his "Sum-9 dyads" is the equivalent of Series A.

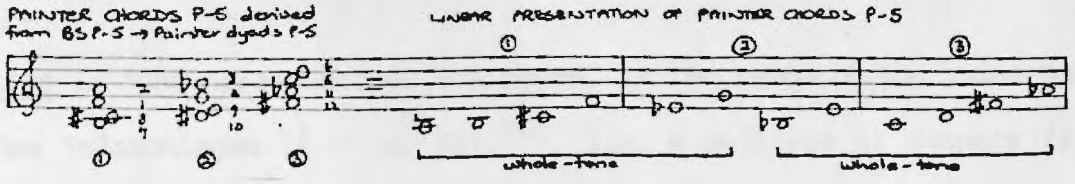
[248]See p. 71 and Ex. 21 above.

Now, Painter Chords P-4 accompany "Schlachtopfer" (str, end 1st beat b.484-end 1st beat b.486 : ③, ①, ③,[249] ①, ② plus P-9 : ③), "and it is this word, "sacrificial victim", which denotes the primary signification of the chord series."[250]

In the Monoritmica, Painter Chords accompanied Schön's revelation to the Painter and its impact (I/2, str, b.675-679), which motivated suicide. In Act III/1, the Acrobat demands that Lulu casts herself as a sacrifical offering in order to get twenty thousand Marks from Alwa, to the accompaniment of Painter Chords (b.335-339 : I-6, P-2, I-4, P-8, P-10, P-0, P-2, P-4, I-8 in right hand of vocal score, except final left hand chord); Lulu quotes him, when suggesting that he spends the night with Geschwitz in return for the money, and the Painter Chords recur, transposed (III/1, b.524-526).

"This harmonic quality of the Painter's Chords is only fortuitously dependent on the Basic Series. It derives, rather, from the relation of the chord series to the two whole-tone collections":[251]

EXAMPLE 31



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[249]Viola's E♮ should be F♮. See Perle, The Operas Vol. 2, p. 109, Ex. 75 and p. 295, n. 93.

[250]Ibid., p. 109.

[251]Ibid., pp. 107-108 and Ex. 71.

This relation "is explicitly unfolded in the opening scene as Lulu and the Painter gaze upon the corpse of Lulu's husband"[252] (I/1, b.284-289, accompaniment : Painter Chords P-5).

This property can be related to the two whole-tone scales, which were unravelled from the BS-permutation of fourth-dyads[253] and appeared during episodes of victimization.[254]
Both forms occur in Lulu's Lied, which follows Schön's offer, "Ich will Dir die Mühe abnehmen" (b.486-489), and portrays a victim of fate.

Lied der Lulu (b.491-538)

Berg dedicated Lulu's Lied to Anton von Webern on his fiftieth birthday, 3 December 1933:

> ... Ein zweiter Schmerz ist es mir, dass das Dir gewidmete Lied kein eigenes zu Deinem 50. Geburtstag komponiertes Opus ist, sondern nur ein kleiner Teil eines grösseren, noch nicht einmal fertigen Werkes. Aber diese 50 Takte sind vielleicht die wichtigsten der ganzen Oper und als solche dort nicht nur zentral gelegen, sondern auch als ein abgeschlossenes Ganzes zu betrachten, deren Zueignung an Dich selbstverständlich in der Niederschrift und in den gedrukten Ausgaben der "Lulu" vermerkt sein wird ...[255]

Lulu's Lied is "das Herzstück" of the opera, in the tempo of the pulse-beat (Tempo des Pulsschlages ♩ = ca 80),[256], i.e. a multiple of Hanna's fate number 10.

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[252]Ibid., p. 107 and Ex 72.

[253]See p. 15 above.

[254]See Naudé, "The Neglected BS-permutation", pp.93-98.

[255]Hilmar, "Alban Bergs Selbstzeugnisse", p. 15.

[256]Stenzl, "Lulus 'Welt'", p. 35.

Berg's autographed dedication-copy and the Lulu Suite's third movement have fifty (5 X 10) bars, whereas the published score has only forty-eight. The former's introductory bar consists of the fifth-dyads G♭-D♭, E-B and C-G, sustained by vib; these are retrograded by vib in the penultimate bar (C-G, E-B, G♭-D♭) and sustained over an added bar.

In the autographed copy, passages by transposed instruments are notated at concert pitch. This difference correlates with Perle's qualms about the published orchestral score:

> Facing the page containing the prefatory note ... is a facsimile page from Berg's own autograph of the score. Passages for clarinets in B♭, alto sax and horns are given, all notated at concert pitch. This is consistent with Berg's invariable practice beginning with the Kammerkonzert (Universal Edition, 1925), which contains the following note: "In dieser Partitur gibt es (nach dem Beispiel von Schönbergs Op. 24 und 26) keine transponierenden Instrumente mehr." Why, then, does the present publication revise Berg's own manuscript by employing the traditional transpositions in the score, a practice which Schoenberg, Berg and Webern had discarded years before the composition of Lulu? In this connection, however, it must be pointed out that the same revision of the manuscript is found in the published version of the Lulu Suite, a fact which suggests the possibility that the change was made with the composer's consent, perhaps as a concession to the conventional prejudices of certain conductors who might otherwise be put off, in spite of their possible interest in a new opera by the composer of Wozzeck. But what possible motive can there be for such a revision of Berg's own score in an edition published in 1964, when the practice of Schoenberg and his pupils in this respect is generally accepted by composers and conductors alike?[257]

The above exemplifies one of many misrepresentations of Berg's Lulu. Its

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[257]Perle, "The Score of Lulu", p. 129. He also points out that Berg asks for tpts in F for the orchestra in the pit and tpts in C for the backstage jazz orchestra of I/3, but the published score calls for tpts in C throughout and makes no reference to his specifications, thus falsely attributing the choice to Berg himself.

'victimization' (Schicksal erleidend) by publishers, producers[258] and the tortuous posthumous history of Act III,[259] is analogous to that of Wedekind's Lulu plays[260] and of the heroine herself whose Lied epitomises "the tragedy of the hounded grace of woman, eternally misunderstood, [Kraus' italics] who is permitted merely to climb into the Procrustean bed of the moral concepts of a stingy world. Woman is made to run the gauntlet; Woman who was never intended by her creator to serve the egoism of her proprietors, and who can rise to her higher values only in freedom.[261]

"Lulu's fundamental confession of faith [sung in a decisive, self-confident tone] ... exposes her innermost essence, completely lost to the sphere of morality."[262]

The text consists of five sentences, demarcated by double bar-lines, each of which comprise two inversionally-related clauses (double bar-lines in the

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[258]See George Perle, "Friedrich's Lulu ", Tempo 137 (June 1981) : 2-7 and "The Cerha Edition", IABSN 8 (Summer 1979) : 6-7 (Patrice Chéreau's direction of the Paris première, 24 February 1979).

[259]See Perle, The Operas Vol. 2, Chapter 6, "Eins nach dem Andern", pp. 260-295.

[260]Censorship and Wedekind's reactionary foreword to his purified version of Die Büchse der Pandora (1906): "The tragic central figure of the play is not Lulu, as the justices mistakenly assumed, but Countess Geschwitz. Apart from an intrigue here and there, Lulu plays an entirely passive role in all three acts" (The Lulu Plays by Frank Wedekind, pp. 103-104, or Frank Wedekind, Erdgeist/Die Büchse der Pandora Tragödien (Munich: Wilhelm Goldmann Verlag, 1980), p. 86), which also resulted in misconception, e.g. Mitchell, "The Character of Lulu", pp. 268-274. (See Karl Neumann, "Wedekind's and Berg's Lulu", MR 35/1 (February-May 1974) : 56-57.

[261]Reich, The Life and Work, p. 157.

[262]Ibid., p. 168.

vocal line only). The music reflects this, and its context within Schön's Aria.

Unlike the latter, "complementary elements unfold successively, rather than simultaneously."[263] It is interesting to note that Lulu's Series "serves primarily as a melodic Leitmotiv , not as a source of segmental pitch-class collections",[264] hence maintaining its snake-like contour. The Lied contains all the Leitmotive associated with Lulu.

The vocal delivery throughout, is schwebend (floating, suspended) and coloratura, to suggest Lulu's unreal mythological origins and the movement of a snake.[265] Regarding the language of Lulu, Wedekind said: "In the description of Lulu I attached importance to the way in which the words she speaks paint the body of a woman. With each of her remarks I asked myself if it served to make it young and beautiful."[266]

The orchestral accompaniment plays a subsidiary role.

1. b.491-497: "Wenn sich die Menschen um meinetwillen umgebracht haben,/so setzt das meinen Wert nicht herab."
(If men have killed themselves for my sake, that doesn't lower my worth)[267]

   The first clause is set to BS P-0. An overlap in b.494 by cyclically permuted BS I-10 (5-12, 1-4), conveys the contrast of the second clause, i.e. P and I forms with "white-note" and predominantly "black-note" hexachords - a feature of the Aria and the whole scene.

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[263]Perle, The Operas Vol. 2, p. 175

[264]Ibid., p. 95.

[265]Carner, Alban Berg, p. 215.

[266]Ibid., p. 201 - no source given.

[267]Translation by Perle. See The Operas Vol. 2, p. 48.

the whole scene. Another extension of the Aria, is the canon by inversion, producing displaced Series B dyads between vocal line (dux: BS P-O, b.491-494) and bcl, doubled by vc (comes: BS I-7, b.492-495). This type of canon was anticipated by fls and bns (b.485-486 : displaced Series A dyads), and tpts 2.3 (b.486-beg. b.488). The pairing of BS P-O and I-7 results in commencement on fourth-dyad IV (C-G) and cadence on fourth-dyad III (C#-F#). Repetition and accentuation emphasise the meeting point of the two canonic voices on III. The introductory bar of Berg's autographed Lied and Lulu Suite's movement three, mentioned earlier,[268] can thus be interpreted as IV and III around E-B.

Each clause is introduced by accented Painter Chords I-7 (hns, b.491) and P-1 (hns, b.495), i.e. symbol of victimisation (inherent whole-tone scales).[269] Painter Chords I-7 thus initiate Lulu's defence against Schön's accusation that she was responsible for the Painter's suicide. They are related to Painter Chords P-4, which accompanied Schön's reference to "Schlachtopfer", because their sources (BS I-7 and P-4) demonstrate non-corresponding hexachordal invariancy; the source of Painter Chords P-1 (BS P-1) consists of a predominantly "black-note" first hexachord and a "white-note" second hexachord.

Painter Chord ③ (whole-tone-like chord) of I-7 is extended chromatically by vns (b.491-mid b.493). The chromatic divergence is reminiscent of Schön's chromatic tail, but does not produce Series A

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[268]See p.127 above.

[269]See p.125 above.

or B dyads. The middle chord is Painter Chord ③ of I-10 or P-0 (I-4 or P-6 : self-invertible and transposable).

The vibraphone unfolds Y and Z of Schigolch's T-2 (b.491-497), and an unordered, repetitive X in vn 2 (mid. b.493-496) is stated simultaneously with an unordered, repetitive Y of TI-5 (related by tetrachordal invariancy) in va. The latter continues with the first three pitches of Z until mid. b.498.

Overlapping statements of BC I, comprising fourth-dyads II and I of Series A, undermine Lulu's worth (b.495-496 : pf, db, and vc completed by vn 1).

2. b.498-507 : "Du hast so gut gewusst, weswegen Du mich zur Frau nahmst,/wie ich gewusst habe, weswegen ich Dich zum Mann nahm ." (You knew as well why you took me for your wife, as I knew why I took you as my husband)

The setting for the second clause inverts that of the first, viz. the first three pitches of BS P-6 at the beginning, the augmented triad E-A♭-C at midpoint, and dyad F-G at the end.[270] The strict mirroring, punctuated by common reference points, therefore reflects that of the text (Du/ich).

Lulu's P-5 in asax (end b.497-beg. b.500, doubled near end by cl 1) is answered by I-7 (end b.502-beg. 505), i.e. P and I forms with the

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[270]Perle, The Operas Vol. 2, p. 175.

same dyads at their start and finish (retrograde relationship); the twisted prefix for each is the same and these notes are isolated in b.502 (ww, vocal line and vns) and b.507 (ww, vocal line, vc and db).[271]

3. **b.508-515 : "Du hattest Deine besten Freunde mit mir betrogen,/Du konntest nicht gut auch noch Dich selber mit mir betrügen."**
(You had betrayed your best friends with me, you couldn't very well also betray yourself with me)

The pitches for the second clause strictly invert those of the first, a major sixth higher. They both have dyad F-A♭ (end b.509 and end b.513) and the rhythm is identical. Perle points out that both clauses unfold the same pair of octatonic scales, in reverse order:[272]

EXAMPLE 32

This is clear in the ossia. The colaratura version masks the octatonic scale, just as Schön deceives others and himself with

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[271]See Appendix A for further details of the accompaniment.

[272]Perle, The Operas Vol. 2, p. 175 and Ex. 178.

Lulu's snake-image (Biblical Eve, the temptress). The octatonic scales are harmonised by the Picture Trope,[273] i.e. the Painter's distorted portrayal of Lulu.

Each clause concludes with the whole-tone collections of BS I-2 (b.511 : 3,5,6,9,11,12,2,1,4,7,8,10) and BS P-11 (b.515), respectively. Their derivation was demonstrated in Berg's early row-chart and at the opening of Act I (b.98-102),[274] which Perle interprets as an incidental twelve-tone set and parody of Lulu's Series;[275] in the Lied, Lulu's Series occurs immediately before (b.510-beg. b.511, pf, vc : notes 1-8 of Lulu's I-4, and b.514-beg. b.515, pf, solo vn 1 : 1-8 of Lulu's P-2). The ascent of one whole-tone scale in pf, b.513-beg. b.514 (deception issue), is answered by the descent of the other, near the end of Lulu's Lied in asax (end b.533-536 : "als was ich bin").

The text's dialectic is underlined further by the accompaniment's ascending perfect fourths and fifths (F-B♭,pf, end b.507-beg. b.509), and octaves (B♮, hp, b.511), and their descent (B♭-F, pf, b.512-beg. b.513, and hp's C♮ octaves, b.515-beg. b.516).

4. b.516-521 : "Wenn Du mir Deinen Lebensabend zum Opfer bringst,/so hast Du meine ganze Jugend dafür gehabt."
(If you sacrifice the evening of your life to me, you've had the whole of my youth in exchange)[276]

The Tam-Tam and cymbal introduce each clause, respectively. The

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[273]See Appendix A for details.

[274]See pp.15-16 above.

[275]Perle, The Operas Vol. 2, p. 124.

[276]Berg has deleted Wedekind's appendage: "You know ten times better than I do which is of greater value" (IV/8); similarly, for Wedekind's conclusive reference to her youth. See The Lulu Plays by Frank Wedekind, p. 97.

vocal line unfolds Lulu's flirtatious I-5 and P-7, i.e. I and P forms with an invariant five-whole-note segment (3-7) and three-note collection (9,10,11).[277] Note 12 of I-5 is incorporated into P-7's twisted prefix. The latter is emphasized by the accompaniment (vc, db, end b.515-beg. b.517, vns, end b.518-beg. b.520, and vn 1, end 1st beat b.521-523). Double bass and harp's chromatic bridge (b.517-mid. b.519) leads to imitation of its semitonal variant (b.519-beg. b.521).

The topic of sacrifice is reflected by disjointed Painter Chords in hns (b.516-517); Painter Chord ① of P-11 or I-11 (self-invertible) is doubled by str (completed by vocal line) and its second occurrence (in hns) is bridged by a "white-note" chord, which, together with the vocal line (D), would form a harmonic BC II variant (B,E,F,G,D). These five pitches occur in the first hexachord of Schön's P-7, i.e. the inversional form of Schön's I-9, demonstrating "white-black-note" dichotomy, which was associated with his Arietta.[278] The rhythm of Lulu's vocal line, end b.516-beg. b.517, is reminiscent of Schön's, "Die Pest im Haus" : 7 ♪ ♩. ♪ ♩ (II/1, b.41).

In b.517, hns continue with Painter Chord ③ of P-1/P-7/I-5/I-11 (self-invertible and transposable), followed by Painter Chord ① of P-10/I-10.[279]

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[277]Perle, The Operas Vol. 2, p. 175 and Ex 179.

[278]The pitches of the second hexachord are present in hns, end b.517-mid. b.519.

[279]See Appendix A for further details of the horn-figuration.

5. b.522-538 : "Ich habe nie in der Welt etwas anderes scheinen wollen, als wofür man mich genommen hat./Und man hat mich nie in der Welt für etwas anderes genommen, als was ich bin."
(I've never in the world wanted to seem anything other than what I've been taken for, and no one has ever taken me for anything other than what I am)

The Lied's longest strophe consists of two sentences. The rhythmic setting of each is identical for the first four bars. The first sentence is set to BS P-4, overlapped by BS I-5 (12=1), and ascending, overlapping BC I on pitches E♭,A♭,A,D, which the second sentence mirrors, viz. BS I-10, overlapped by BS P-9, and descending, overlapping BC I on pitches A,E,E♭,B♭ (completed by hp, vns and vc).

BS I-10 consists of predominantly "black-note", and "white-note" hexachordal division. If BS P-4 and I-5 were superimposed, Series A dyads would result; the pairing of BS I-10 and P-9 would produce Series B dyads.

BC I in ww and pf (end 1st beat b.529-530), bridged by BC I/II variant (A♭,D♭,D,E♭,A♭), starts with a statement comprising fourth-dyads II and I of Series A (D-G, A♭-D♭). Lulu's vocal line (end b.532-536) unfolds successive Series B dyads : G-C (IV), B♭-A, E-E♭, B♭-A, E-E♭. The missing minor third dyads are presented by btuba, doubling va and vc (end b.535 : D-F), and vn 1 (b.537 : A♭-B). The missing fourth-dyad III (F♯-C♯) introduces Schön's fifth strophe (b.538, hns and trbns).

The harp parallels the phrase "nie in der Welt", with c♯$^{5}_{3}$ and F♯$^{5}_{3}$ in b.523 and 530, respectively.

Midpoint is marked by Painter Chords RI-5 (mid. final beat b.528-beg. b.529 : obs, cls and bns, hns, vn 2 and va, vc) and its inversion R-5 (b.529, mid. 1st beat-mid. 2nd beat : str). Both share chord ③ (self-invertible), which is echoed in hns (b.529) to

align with ③ of R-5. Painter Chords dominate the accompaniment throughout,[280] to portray Lulu as fate's sacrificial victim. The extensive use of retrograde perhaps reflects the text's negation, i.e. Lulu's submission contradicts her earlier complaints about the Painter's 'blindness' (first sentence) and Schön's misconception (second sentence).

Strophe five of Schön's Aria (b.539-552). The superimposition of dyads III and IV at the conclusion of Lulu's Lied (b.538, trbns and ww, respectively) evolves into the pairing of Schön's P and I forms, whose first and second hexachords begin with these dyads, i.e. Series B dyads, which dominated strophe three and the first part of strophe four, and opened Lulu's Lied. Fourth-dyad III initiates Schön's simultaneous P-1 and I-6 (tpts and trbns, b.540-beg. b.542 : 3-12,1,2) and IV leads to Schön's paired P-7 and I-0 (cls and bns, b.539-542 : 3-12, 1,2,5).

The pairing of Schön's P-11 and I-4 in vns, and vc and va, respectively (b.538-beg. b.543 : 1-12,1,2) produces neither Series A nor B dyads. Notes 11 and 12 of P-11 form fourth-dyad II (G-D), and I-4 ends with dyad I (A♭-D♭) of Series A. The parallel minor sixth movement between this pair and P-7+I-0 (notes 4-7, ww, end b.539-541) is reminiscent of the parallel major thirds in vns, near the start of strophe four (b.445-beg. b.448).[281] This underlines the dramatic parallel of Schön commanding Lulu to shoot herself. In strophe five, Schön's furious demand is reflected by his main Sonata theme in the three, overlapping, paired statements of his Series,

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[280]See Appendix A for details.

[281]See p. 122 above.

and their formation of circles.

He forces Lulu to kneel before the staircase and the accompaniment (hns, vn 2, va, vc, final beat b.543-2nd beat b.544) reminds us of her portrait there, with P.T. TI-O (incomplete ④).

Lulu's P-2, demonstrating "white-note" and predominantly "black-note" dichotomy, provides the setting for his warning, "Nieder ... und wage nicht wieder aufzustehn!" (mid. b.543-546, doubled and completed by vc, end b.544-547).

In order to distract Schön, the Schoolboy noisily springs out from under the table to his T-2 (mid. b.551-beg. b.553 : ③ in enghn and vc, ① in obs and va, ② in fls and vn 2, repeat of ① in enghn and upper vc, completed by obs and va, and an incomplete repeat of ③ in asax and lower vc).

The altered conclusion (beg. b.553) results from the accommodation of a harmonic BC II (E,A,B,C,F) or the Arietta's "white-note" chord (first five pitches of Schön's I-9). Lulu's shooting of Schön when his back is turned, is accompanied by a violin-figuration derived from this chord. It outlines Series A dyads and is a telescoped variation of the tumultuoso which preceded Schön's Aria (b.362-372). The constant pitches A,B,C connect the Series A dyads C♯-G♯ (I), D-G (II), E♭-F♯, E-F, and as grace notes introduce each statement of the rhythmic fate motive on B♭ (cls, bcl, bn, dbn, b.553-559).

The piano articulates the chromatic ascent on the first note of each dyad and coincides rhythmically with the five shots; the second dyad-notes diverge chromatically to meet on the repeated F.

The Schoolboy's cry of help (b.553-554) is set to pitches F,B♭, i.e. those of the climactic, repeated F and the B♭-fate motive. Strings and piano retrograde BC II, which led up to the F-repeat (end b.554-555 : E,A,B,C,F,

with added F initially) and its descent depicts Schön stumbling forward. At this level, BC II introduces Schön's death scene (pf, vn 1, mid. b.584-586).[282]

The death of Schön, the central character in Lulu's life and most resilient 'victim', is symbolised by an extended derivational unfolding. Berg wrote in one of the form sketches for Act II/1: "Schoen's death, retrograde evolution of Schoen's row to the Lulu row."[283]

Schon's P-4, alone, is presented by pf and str (b.587-590), i.e. at the same level as the coda unfolding (I/2, b.617-621). It is introduced by Schön's chromatic[284] "Ich verdorre ..." (b.586), analogous to his chromatic "Ihres Mannes" (I/2, b.613-614) and Lulu's "Meines Mannes ..." (b.615), which introduced and began the Sonata's coda.

His reaction to the champagne, which Lulu brings, is: "Du bleibst Dir gleich", set to BC I (b.588-590, doubled by hns). He drinks with a final glance at Lulu and her portrait, as hns (b.590-593) unfold ④ of P.T. TI-2, TI-8 with incomplete ④ (C instead of G in hn 3),[285] and TI-2 with incomplete ③ (D♭ instead of A♭ in hn 2);[286] further deletion from P.T. TI-8's repeat, and the final disintegration of P.T. TI-2's repeat, reflect Schön's fading focus.

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[282]See Appendix A for intermediate details.

[283]ÖNB Musikammlung F21 Berg 28/X fol. 5. See Hall, "Derivational Unfoldings in the Sketches", p. 11.

[284]A♮ is A♭ in the vocal score.

[285]Cf. Perle, The Operas Vol. 2, p. 110, Ex. 77 - he reinstates G, but does not elaborate.

[286]Ibid. Perle has B♮,G♯, 2nd beat b.591, but in the score, hn 2 has D♭,B. In both instances, the missing G and G♯ are supplied by pf and hp, respectively.

The extracted source notes of Schön's P-4 are reinterpolated as his life ebbs away (b.591-601), i.e. Schön's P-4 in str and pf, reabsorbs three statements of BS P-4 (omitted notes) in ww and hp.

Lulu's P-4 (1-9) in asax, emerges from the hns' Picture Trope-disintegration (b.593-595) and notes 4-9 are doubled by Schön for his final warning to Alwa: "Lass sie nicht entkommen:". Note 9 initiates BC I to accompany his continuation, "Du bist der Nächste ..." (b.595-597), with undertones of the fate motive's rhythm: ♩𝄽♩𝄽♩♩𝄽. Its pitches constitute the hexachordal openings of Schön's I-9, the second hexachord of which unfolds in the vocal lines (end b.598-600). Schön's objection, "Nein, nein! Nein! Nein!" (end b.599-602), comprises fourth-dyads III and IV of Series B, which can be rearranged to form BC I (F♯,C♯,C,G). This is reminiscent of the setting for his "Alwa! Alwa!" (b.568-571) and its accompaniment (b.568-574 : pic, tpt 1, final beat b.574-576 : tpt 1, and b.576-mid. b.577 : trbn 1).

When Schön groans "O Gott, o Gott! ..." (b.603-604) to Y and Z of Schigolch's TI-9, his Series is completely absorbed and all that remains is BS P-4 in ww and hp. Segment X of Schigolch's TI-9, initiated by the sustained A♮ in str, forms the setting for his last utterance, "Der Teufel", on seeing Geschwitz (end b.606-607),[287] which the Schoolboy, doubled by hn 2 and vc, repeats in b.608.

The presence of Schigolch's Trope perhaps represents the retrograde evolution of Schön's Series to Schigolch's Trope, thus mirroring the passage prior to the Sonata (I/2, b.523-beg. b.525).

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[287]See Appendix A for details of Geschwitz's music, accompanying her release.

Lulu's address to Schön's corpse, "Er hat es überstanden" (b.609-610) is set to the transposed coda theme, which vn 1 initiates (A♮) and fls anticipate (b.608-609 : at original pitch level, completed by Lulu's G♯). The coda theme's final four pitches comprise the final tetrachord (9-12) of Alwa's I-10 and I-5 (original pitch), respectively; the first two pitches span their respective first hexachords (6,1). Alwa is therefore Schön's successor.

Lulu's last glance at Schön is accompanied by her Canzonetta theme in asax (end b.610-mid. b.612). It is transposed to BS I-4 (1,2,4,5,8,11), which has "white-black-note" dichotomy. It also represented her reaction after the Painter's death (I/2, b.868-870 : vn 1 at BS I-5 level).
Simultaneous statements of Lulu's Series, a major third apart, depict her hurried exit towards the stairs (ww, b.613-615 : notes 1-8 of P-2+P-10 and P-0+P-8).[288] She passes Alwa to her 'tripping' figure in vns (b.614-beg. b.616). Alwa stops her: "Nicht von der Stelle!" (b.616), to the accompaniment of the above Series' cadential elements (notes 9-12) in ww.

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[288]See Appendix A for details.

Ostinato (b.652-655)

An Ostinato on BC I and BC II accompanies the "Gepolter an der Tür", Alwa's admittance of the police, the quick curtain fall, and introduces the Film Music.[289]

The Ostinato was anticipated by RBC II (E♭,B♭,A,G,D) repeats in ww (end b.650-2nd beat b.652) and overlapping statements of BC I (F,C,B,F♯ and B,F♯,F,C) in tpts (end 2nd beat b.650-651). The latter is imitated by trbns (b.651-beg. b.652) and the str doubling isolates BC I's second statement (end b.650-beg. b.652).

Retrograded statements of BC II continue canonically between bcl, doubled by vc (dux), and, after a single statement in bns, dbn, doubled by upper db (comes), b.652-655. Both voices outline ascending BC II pitches ([D],G,A,B♭,E♭) on the beat and each subsequent division of the beat; their canonic roles are inverted, i.e. bcl and vc form the comes a ♩ later. Similarly, inverted (=retrograde) repeats of BC I (B,F♯,F,C) continue canonically between left hand pf (dux), doubled by lower db, and right hand pf (comes), doubled by timp (C is substituted by bd). Starting with the C♮ of trbns and vc (beg. b.652), the dux outlines ascending statements of BC I (C,F,F♯,B) on the beat and each subsequent division, as does the comes.

Double barlines mark the end of the Ostinato and the beginning of the Film Music.

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[289]Mirrored by the slow opening of the curtain at the end of the Film Music (b.719-720), i.e. condensed into three bars of retrograde; in b.718, BC II (bcl, vc) anticipates the retrograded Ostinato.

Verwandlung (Film Music) b.656-718

"The two scenes of this act[290] are linked by means of a musical interlude which, synchronized with the track of a silent film, narrates Lulu's turbulent adventures between the killing of Dr. Schön and her escape from prison."[291]

This account of Lulu's imprisonment, absent in the plays, thus amalgamates Act IV of Erdgeist with Act I of Die Büchse der Pandora to form dramatic concentration at the climactic point of the opera.[292]

"Berg's biographers have failed to give due credit to Berg's obvious model in that matter [film sequence], namely to Otto Falkenberg's modernistic Lulu version, produced in Munich in 1928, in which film sequences were used, in a manner then rather novel and spectacular, to bridge over numerous scene changes."[293]

"The music to the silent film (orchestral interlude No. 3)[294] is a large-scale ostinato movement",[295] whose perpetual semi-quaver motion is-

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[290]No scene-change in Berg and Wedekind.

[291]Redlich, Alban Berg, p. 171. Berg's film has never been produced, owing to production costs for each performance and problem of musico-dramatic synchronization - generally replaced by projected images.

[292]Neumann, "Wedekind's and Berg's Lulu", p. 55. Redlich (Alban Berg, p. 171) views this fusion as abolishing "the overlong caesura between Wedekind's two plays." Berg omits the "Prologue in the Bookshop" to Die Büchse der Pandora.

[293]Neumann, "Wedekind's and Berg's Lulu", p. 55.

[294]Orchestral interlude no. 1 : at the end of I/1 (b.351-413); orchestral interlude no. 2 : Verwandlung at the end of I/2 (b.958-991); there is no orchestral interlude between Acts I and II.

[295]Redlich, Alban Berg, p. 191.

reminiscent of the Lyric Suite's Allegro misterioso (movement III).[296] In the latter "the original material is telescoped in its retrograde restatement (3 times 23 bars [b.0-69] is reduced to 2 times 23 [b.93-138]); in Lulu, timbre and dynamic level are modified, mainly through the muting of brasses and strings, in the second half of the Film Music",[297] to "indicate the reverse of fortune that overtakes the heroine."[298]

Throughout the opera, Berg closely integrates the aspects of production into the musical structure,[299] yet, besides the boundary points,[300] the published score and libretto's scenario[301] of the Film Music, give no indication of the accompanying, silent, visual events.

Berg first orchestrated those sections which he intended to include in the Lulu Suite; its second movement, Ostinato, is the Film Music.[302] The particell of Lulu has precise timing indications of visual and musical synchronization.[303] A separate sheet inserted into the particell, has a more detailed scenario with handwritten annotations.[304]

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[296]And whose "serial technique of retrograde motion [also] links it with the Adagio of the Chamber Concerto" (ibid).

[297]Perle, The Operas Vol. 2, p. 17.

[298]Reich, The Life and Work, p. 169.

[299]See, for example, the tumultuoso passages mentioned above. "Action and music are synchronized here with a precision that anticipates the pre-recorded soundtrack of a modern film." (Perle, The Operas Vol. 2, pp. 149-150.)

[300]Start, midpoint and end, demarcated by double barlines.

[301]The libretto of the first two acts was published in 1937 (Redlich, Alban Berg, p. 170). See its earlier version (Perle, The Operas Vol. 2, p. 150) of the film scenario in Reich, The Life and Work, p. 170.

[302]See Perle, The Operas Vol. 2, p. 241, for minor differences.

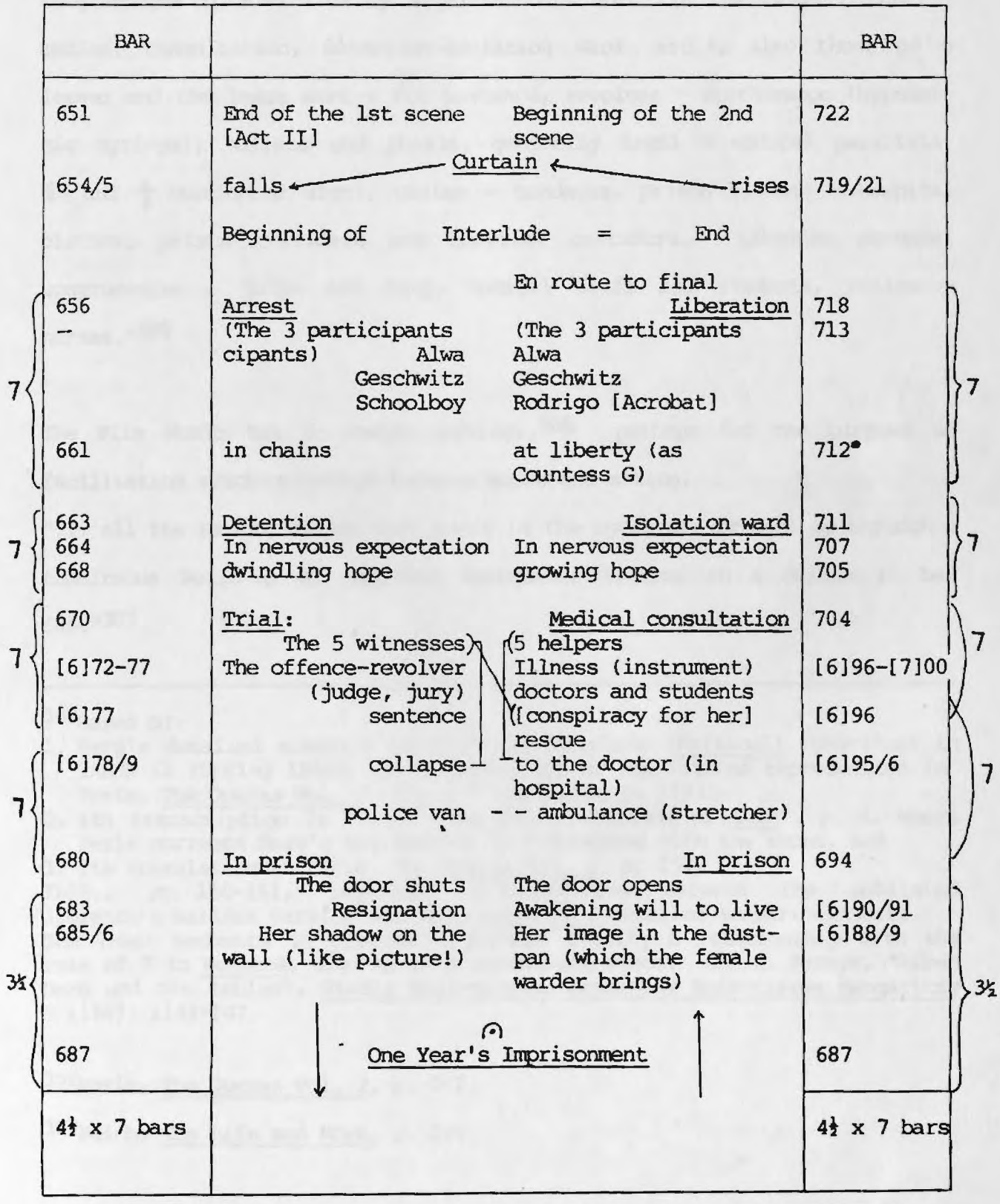
[303]See, for example, ibid, Plate 8.

[304]Ibid., p. 150 or George Perle, "The Film Interlude of Lulu", IABSN 11 (Spring 1982) : 3.

D86/185

The main episodes of the film and its overall palindromic design are outlined as follows:

DIAGRAM 2: FILM



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"The sequence of the filmed events corresponding to the symmetrical course of the music is likewise to run in a quasi-forward and retrograde progression, wherein corresponding occurrences and associated phenomena are to be matched with one another as closely as possible. In addition to the above congruencies (placed side by side) of this sort (in the large : trial - medical consultation, detention-isolation ward, etc.), also those of a lesser and the least sort : for instance, revolver - stethoscope (hypodermic syringe), bullets and phials, generally legal - medical parallels, §§ and ⚕ (Asclepius sign), chains - bandages, prison clothes - hospital clothes, prison corridors and hospital corridors. Likewise personal congruencies : judge and jury, medical staff and students, police - nurses."[305]

The Film Music has no tempo markings,[306] perhaps for the purpose of facilitating synchronization between music and action.

"... all the serial shapes that occur in the opera are brought up through a tumultuous build-up of ostinato semiquaver figures to a climax in bar 680."[307]

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[305]Based on:
1. Berg's detailed scenario of the Film Interlude (Particell insertion) in IABSN 11 (Spring 1982), cover photograph or the fainter reproduction in Perle, The Operas Vol. 2, Plate 7 (reference p. 150).
2. its transcription in Perle, "The Film Interlude of Lulu", p. 4, where Perle corrects Berg's bar numbers to correspond with the score, and
3. its translation in Perle, The Operas Vol. 2, p. 152.

Ibid., pp. 150-151, regarding discrepancies between the published libretto's earlier version and the Particell's detailed scenario-insert.
The 7-bar segments in diagram 2 perhaps signify a relationship with the role of 7 in Wozzeck, e.g. Marie's repentance-scene. See A. Pernye, "Alban Berg und die Zahlen", Studia Musicologica Academiae Scientiarum Hungaricae 9 (1967) :144-147.

[306]Perle, The Operas Vol. 2, p. 232.

[307]Reich, The Life and Work, p. 169.

Tumultuous Arrest (b.656-662)[308] mirrored by Liberation (b.712-718)[309]

"Lulu's arrest, apparently approved by Alwa, seals her fate",[310] just as Schön's letterwriting sealed his fate at the end of Act I. The arrest takes place on a c♯4 (tpts, first half b.656); its alternation with a diminished triad on D♯, and the oscillation between ② of P.T. T-5 and the Viennese fourth chord B-F-B♭ (b.657, from second ♪ of second beat), perhaps depict the inspection of the premises. The brass instrumentation has military connotations. Flutes, oboes and clarinets double ② of P.T. T-5 and continue with ① of P.T. T-10 and the chord B-F-C♯, oscillating on the last two (b.657-mid. b.658).[311]

The three participants are represented by their Series or Trope. Alwa's P-2 occurs in bcl (mid. b.656-657 : 1-7,9,8,10-12, doubled by ww and str). In b.660, Alwa's P-8 appears in dbn and db (1-4), bns and vc (2-8), and tpt and vn 1 (8-12).

The Schoolboy's T-7 unfolds in bns, doubled by str (end b.657-beg. final beat b.658 : ③, ①, and first half of ② - the second half (E♭,B♭) is presented as a simultaneity in fls 1.2, obs 1.2 and cls 1.2, mid 3rd beat

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[308]The following extends Perle's interpretation of Berg's annotations, and consequent comments in The Operas Vol. 2, pp.153-155 (Diagram 4) and pp. 155-157.

[309]The retrograded second half of the Film Music reflects the dynamic changes with additional or reduced doubling of parts and variation in instrumentation, i.e. in addition to octave displacement, rhythmic alteration (fate rhythm is not retrograded) and numerous enharmonic changes. Reich claims that "From the middle of bar 687 the music runs in the opposite direction (excactly in all its parts)." See Reich, The Life and Work, p. 169.

[310]Redlich, Alban Berg, p. 190.

[311]See Appendix A for details of the continued woodwind's oscillatory pattern.

b.658). Segment ① of the Schoolboy's T-8 is sounded by bcl, dbn and db (mid. b.660), ② by bns and vc (from end 3rd beat), completed by tpt 3 and vn 2 (beg. b.661), and ③ continues in the latter parts.[312]

Segments C of Geschwitz's T-5 is presented by dbn and db (end b.658-beg. b.659); its bcl-vc doubling unfolds segment B (b.659, 2nd beat-beg. 3rd beat, which asax and va double and complete - B♭). Segment A occurs in upper ww, final beat b.658. Geschwitz's T-11 follows her T-5, with segment A (B-F♯) in upper ww (b.659-mid. b.660), and segment B surrounded by C as follows:

B♭ (3rd beat b.659, asax, vn 2, va), C,D (bcl, vn 1, vc), →
Segment C

G♯,A,C♯,D♯,E, F,G (asax, vns 1.2)
Segment B Segment C

Segments B and C reappear, as usual, in va, doubled initially by asax and later by tpt 2 (end b.660-mid. b.661); segment A is a constituent of the BC IV build-up in pf.

The harp (b.656-658 and 660) marks the start of each participant's motive.

Lulu, in chains (end 2nd beat b.661-663), is depicted by either a major or a minor triad on every degree of the chromatic scale, except C♯.[313]

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[312]Berg replaces the Schoolboy with the Acrobat for the three liberation-participants (see Diagram 2) - II/2 opens with Alwa, Geschwitz and the Acrobat as conspirators for Lulu's release. Berg's annotations show that he was disturbed by the retrograde's retention of the irrelevant Trope (b.713-4 and 716). See Perle's ideas on this discrepancy in The Operas Vol. 2, pp. 155-156.

[313]See Appendix A for details. Its counterpart : Lulu disguised as Geschwitz (b.712-713), and the following Act II/2 : Geschwitz as herself, before taking Lulu's place in the hospital, remain incoherent. See Perle, The Operas Vol. 2, p. 156.

Detention (end b.662-670) mirrored by Isolation Ward (b.704-beg. b.712)

This agitato section represents Lulu's nervous expectation and consists of the strings' canonic progression : BS P-0,[314] P-1 (starts in vn 1, b.664), P-4 (note 11 of P-1 becomes note 1, starting in vn 1, beg. b.666), P-6 (vns lead, end b.666, after added E♮ in vn 2) and I-6 (from end 3rd beat b.667 (vn 1) - disintegration in vc, 3rd beat b.670, with notes 9 and 12 in cl, and 11 in db). The first three pitches of each entry are isolated by pf, or hp later (from b.664); in b.667, the left hand pf doubles a complete statement of BS P-6, by vc and db, to mark the peak of Lulu's hope for acquittal - the hp eventually takes over the role of pf as her hope dwindles (b.668-beg. b.670).

The change in Lulu's attitude is further effected through a contrast in dynamics (cres. ⟶ dim.), attack (arco ending with pizz. ⟶ Griffbrett arco/𝆑), melodic contour (P → I) and part-writing (straight statements ⟶ intermingling of voices, illustrated by - - - - in the score).[315] The falling octave on note 12 of BS P-6 in pf and str (from mid. 3rd beat b.667) is mirrored by rising octaves in pf (1st beat b.668).[316]

Trial (b.670-679) mirrored by Medical Consultation (b.695-704)

Statements of BC I (E,A,B♭,E♭) in pf (b.670-beg. b.674, doubled by str)[317]

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[314]Third statement in vc has D♮, mid. 1st beat b.665, instead of D♯ (note 11), hence acting as note 12 of the following BS P-1; note 12 of BS P-0 becomes note 1 of P-1.

[315]See Appendix A for details of BS I-6, end 3rd beat b.667-end 3rd beat b.670.

[316]The foreign B♮ is probably an error, because its retrograde-counterpart (b.706) and the Lulu Suite has G♮; the vocal score does not include the octaves.

[317]i.e. the same pitch collection which opened and closed the palindrome-like Prologue; for details of its "salient role", see Perle, The Operas Vol. 2, pp. 194-195.

are derived by extracting notes from the five witnesses' Series or Tropes, namely:

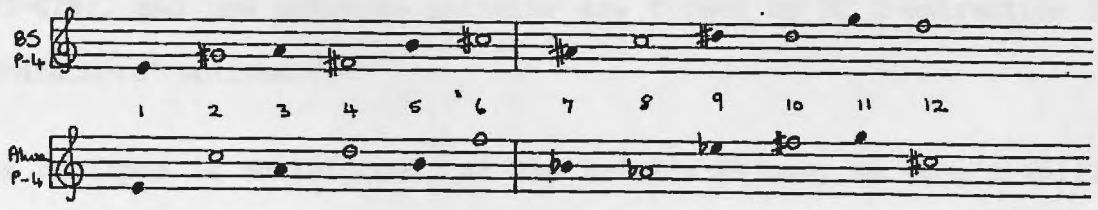
1. BS P-4/Lulu (notes 1,3,7,9) in cl (1st three beats b.670),
2. Schön's P-4 (1,2,7,8) in bn (b.670-mid. b.671),
3. Alwa's P-4 (1,3,7,9) in asax (b.671-end 1st beat b.672),
4. The Schoolboy's T-2 (2,6,7,12) in ob (b.672),
5. Geschwitz's XI-5 (1,2,9,8) in fl (1st three beats b.673), and the Acrobat's P-4 (1,2,4,5) in dbn (b.673-mid b. 674).

Schigolch is represented by his T-3 : Y, T-7 : Z, T-5 : Y, incomplete, unordered Z and unordered X (enghn, pf, b.674-676) and T-7 : Y, unordered, incomplete Z and unordered X (b.677-678).

The last two characters are not witnesses, because they left before Schön's death.[318]

It is interesting to note that BC I occurs on corresponding pitches of BS P-4 and Alwa's P-4, i.e. notes 1,3,7,9. This is due to the following relationship:

EXAMPLE 33



[318]In the retrograde-counterpart (b.696-704), the Schoolboy would not be one of the five helpers, because his escape plan was conceived independently, and Schön's representation becomes insignificant.

The uneven-numbered notes (•) of both series correspond and the even-numbered notes (o) form the following, non-corresponding pattern:

BS P-4		Alwa's P-4
2, 4, 6	=	8,10,12
8,10,12	=	2, 4, 6

Dramatically, this relationship anticipates the development of that between Lulu and Alwa in II/2.

With the exception of Schigolch, each character's motive is followed by an eight-note ostinato on the remaining notes after BC I's extraction. These figures are rhythmically varied with each reiteration.[319]

Segments 1 and 2 of Trope I T-4 (brass, vib, str, b.674-676), marked "Die Waffe" (the weapon), are set to the fate rhythm. The downbeat of segment 3 (b.677-678) is annotated "Revolver" and its fate rhythm underlines "Ver-ur-tei-lung" (the sentence) - timpani imitate pitch only (end b.677-678).

The whole-tone ascent between the starting pitches of each segment is reinforced by the repeated notes (transposed) in the other voices (b.675-678), and new ostinato patterns are formed by BC I-extraction from the characters' motives.[320]

Lulu's collapse is anticipated, at the trial's climax, by Berg's initials

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[319]Only the first statement of the 8-note remainder-row for BS P-4 (end b.670-mid. 2nd beat b.671) is almost aligned with the extracted pf-BC I (BS P-4 and Schön's P-4 have BC I pitches in the first half of each hexacord). The A♮ in the 8-note row immediately after Schoolboy T-2 (ob, end 2nd beat b.673) is possibly an error, because the following repeats have B♮, and A♮ is one of the extracted BC I pitches; its counterpart (beg. 3rd beat b.701) reinstates B♮.

[320]See Appendix A for details.

(end b.677-end 1st beat b.678 in enghn and pf, with the doubling of tpts 2.3 isolating Lulu's twisted semitonal prefix), and depicted by her canonic P-1 (1-8, b.678-679 : trbns and btuba ⟶ hns (whose twisted prefix is doubled by bns) ⟶ asax and tpts (doubled initially by enghn) ⟶ fls, obs and cls).

Her Series fragments into a four-note ostinato on notes 8,9,10,12 (b.679-end 1st beat b.680 : hp and pf, doubled by brass and at the end by upper ww) as she is transported to prison in a police van (FACH = compartment and contains Hanna's initials H.F.).

In Prison (b.680-686) mirrored by b.688-694 (In Prison)

The prison door shuts very loudly on ③ of Trope III T-4 (brass, 2nd beat b.680, sustained diminuendo until beg. b.682), which reverberates through upper ww and pf, doubled in part by hp, bcl and bns, until 2nd beat b.685 (bcl, pf); segment ① occurs in dbn and db, until end b.681 (vc doubles its second statement),[321] and in va and vc, b.682; the pitches of ② unfold in vns, b.681-beg. b.683.

The opera's fate rhythm is presented by vib and vns (b.680) on a repeated C♯, i.e. the pitch of arrest, absent from the triadic Lulu-in-chains, and the final note of BC I or cyclically permuted segment 3 of Trope I T-4 (vns, from end 3rd beat b.679, where vn 2 overlaps with a BC II variant-prefix : G,C,C♯,D,G).

Lulu's resignation sets in, mid. b.683, with a suggestion of her Entrance Music, until end b.684. Her portrait-like shadow on the prison wall is accompanied by P.T. TI-11 (tpts, b.685), T-11 and T-5[322] (trbns, b.685-mid. final beat b.686) and T I-5 (hns 1.2.3, b.686, with ④ completed by hn 4).

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[321] The alto clef for vc (b.680-681) has been corrected in the Lulu Suite and vocal score.

[322] ④ of T-5 is completed by hn 3 (G♭, A♭).

One year's imprisonment (b̄.687)

Double bar-lines separate b.687 from the rest of the Film Music. The fermata marks the midpoint of the Film Music's palindrome and divides the bar exactly in half.[323] It symbolises one year's imprisonment, a hiatus in Lulu's life, and establishes a bridge between Wedekind's two dramas.

Trope III T-O dominates, with ① in the two solo vns, ② in the two solo vc (end b.686-beg. b.688), and ③ in hns and cl+bcl. BC IV, with constituent BC V (A♭-D♭), occurs harmonically in vib and melodically in pf.

Berg's marginal note about the sustained, central B♮ in vns : "Welch Zufall! Allerletzte Scene! Immer das H!" (What a coincidence! The very last scene! Always the H!), refers to Hanna.

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[323]Perle points out that Berg's musico-graphic symmetry around the fermata-midpoint, "as shown in his fair copy of the full score", is "correctly represented in the published score of the Lulu Suite, only partially represented in the published score of the opera, and entirely misrepresented in the piano reduction." See Perle, The Operas Vol. 2, p. 150. See also Jarman, The Music, p. 240.

CHAPTER III

RECAPITULATION

The Film Music's retrograde foreshadowed the recapitulative design of the opera's second half "... every ... action and thought derives its quality from memory and the past", and the music reflects this.[324]

Scene 2 of Act II "hovers ... uneasily ... between unfulfilled past and indeterminate future. It lacks all sense of present time, and its ghostliness is wonderfully expressed by the veiled character of the music. It chiefly alludes to the music of earlier scenes, quoting them sleepily in a kind of 'slow motion' manner ..."[325]

Scene 2 takes place in the same room as Scene 1, which is now carefully shuttered against daylight. The easel is empty and Lulu's portrait leans against the fireside, face inward.

Alwa, Geschwitz and the Acrobat await Schigolch (Recitative : b.722-787). Schigolch arrives to escort Geschwitz to the hospital (Largo : b.788-814). Their plot, contriving Lulu's escape, succeeds, thanks to the self-sacrifice of Geschwitz, who risking cholera, exchanges places with Lulu in the isolation ward.[326]

She refuses remuneration from Alwa (Recitative : b.815-822)[327] and they depart.

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[324]Perle, The Operas Vol. 2, p. 84.

[325]Redlich, Alban Berg, p. 192.

[326]See b.102la-c for details, which Redlich views as "residual dialogue" tending "to bring the music to a complete standstill". Ibid., p. 173.

[327]Alwa's spoken offer (b.785) is omitted in Alban Berg, Lulu, with Evelyn Lear, Patricia Johnson, Dietrich Fischer-Dieskau, and Donald Grobe, cond. Karl Böhm, Orchester der Deutschen Oper Berlin, Deutsche Grammophon, 2709 029, 1968.

When Alwa refuses to give the money to the Acrobat instead, the latter retaliates that Alwa's only achievement was to compose an opera[328] about Lulu, which no respectable theatre would stage (Largo and Spoken : b.823-833).

The Schoolboy interrupts their argument with an independent escape-plan, and for a long time disbelieves their story that Lulu died from cholera (Kammermusik for ww, pf and eight solo str : b.834-952).[329]

The Acrobat wishes to marry Lulu and train her to be "die graziöseste Luftgymnastikerin der Jetztzeit", but when she returns with Schigolch, a "ravaged cholera victim",[330] he rejects her and leaves to call the police (Melodrama : b.953-1000). Schigolch departs to collect the train tickets.

When alone with Alwa, Lulu "throws off the mask of sickness and radiates beauty, health and youth again"[331] (Rondo's middle section, b.1001-1058 and recapitulation, b.1059-1087; Musette : b.1087-1096). The passionate love-scene culminates in Alwa's Hymn (b.1097-1150) and Lulu becomes his mistress on the settee where Schön bled to death, thus representing one final triumph for Lulu.

They flee across the German border with the police in pursuit.

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[328]Berg substitutes "Schauderoper" for Wedekind's "Schauerdrama". See Wedekind, Erdgeist/Die Büchse der Pandora, p. 103 (Pandora's Box, Act I).

[329]Designated as "2. Kammermusik (für Kammerorchester)" by Perle in The Operas Vol. 2, p. 69 and n. 5. Jarman labels this section "Chamber Music [2]" in The Music, p. 205.

[330]Redlich, Alban Berg, p. 190.

[331]Ibid.

Alwa's Rondo (b.1001-1096)

The continuation and completion of Alwa's Rondo comprises a middle section (b.1001-1058) and recapitulation (b.1059-1096), which are defined by double bar-lines.[332]

1. The middle section consists of:

   (a) A modified reprise of the Rondo's subordinate theme (b.1004-1009), e.g. Alwa's P-10 (2-9) in ob 1 (end 1st beat b.1004-1005, doubled initially by Alwa) and I-10 (1-9) in tpt (b.1005-1006), doubled mostly by Lulu), framed by modified fragments of Lulu's Entrance Music (b.1001-1003 and 1010-1015).[333]

   "Her [Lulu's] cry, "Oh, freedom!", adds a new level of significance to "Lulu's Entrance Music," when the striking melodic element that initiates this music - until now heard only in the orchestra - becomes the direct vehicle of this utterance."[334]

   (b) Contrasting first episode based on the Picture Trope (b.1016-1029),[335] which reflects the topic of conversation. Lulu's portrait, "the image of her best days, now plays a larger part than she herself, and whereas earlier it was her active charms that motivated the action, now - at every

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[332]The following is based on Perle's Formal Design in The Operas Vol. 2, p. 74.

[333]See Appendix A for details.

[334]Perle, The Operas Vol. 2, p. 70.

[335]See Appendix A for details.

station on the road of suffering - it is the discrepancy between her former magnificence and her present woe that arouses our feelings. The great retribution has begun, the revenge of a world of men which makes bold to avenge itself for its own guilt."[336]

(c) Second episode based on Lulu's Entrance Music (b.1030-1037).[337] Alwa's opening line: "Du sahst schrecklich elend aus, als Du herein ..." reorders the pitches of Lulu's "... Freiheit! Herr Gott im Himmel" (b.1001-beg. b.1003). "Since several sections of the Rondo, including the Coda, are based on Lulu's Entrance Music, the introduction that Berg provides in the Suite has significant thematic connections with the Rondo."[338]

(d) The concluding theme (b.1038-1047), which reappears at identical pitch (with initial added notes D♮,C♮) to underline textual connections between "In Deinen Augen schimmert es, wie der Wasserspiegel in einem tiefen Brunnen, ..." (Alwa's P-1, b.1037-beg. b.1041) and "Eine Seele, die sich im Jenseits den Schlaf aus den Augen reibt ..." (II/1, b.319-322).

It is perhaps no coincidence that both passages are preceded by a figuration related to Alwa and Schön, viz. the

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[336]Part of Kraus' lecture, in Reich, The Life and Work, pp. 157-158.

[337]See Appendix A for details.

[338]Perle, The Operas Vol. 2, p. 241.

ambiguous first hexachord sequence from Lulu's Entrance Music (pf, b.1035-1037)[339] and the juxtaposition of Alwa and Schön's P-7 to illustrate common notes 1,4,7,10 (trbn ⟶ ww, b.311-316).[340]

Here, variations of the earlier accompaniment include a linear unfolding of Alwa's P-8 in solo va (b.1041-beg. b.1044), instead of demonstrating the connection with the bridge theme, as is the case for P-3 (between fl 1/cl 1 and cl 2/solo vc, b.1044-1046), the omission of the Picture Trope and BS, and the addition of Lulu's P-9 (1-8) in hp, doubled mostly by bn (b.1045-1046), and mainly trichordal arrangement of Alwa's P-9 in brass (b.1046-1048) to depict his gentle release of Lulu.[341]

(e) The codetta or extension of the coda (b.1048-1058), which is dominated initially by Lulu's Series : P-4 in vocal line and vc, b.1048-1050, I-8 (1-8) in fl 1, b.1050-1051, and simultaneous P-11, P-7, P-1 and P-3 in hns and ww (with notes 2 and 3 of P-7 and P-1, respectively, in vocal line), final beat b.1051-beg. b.1053, which produce a sequence of Painter Chords ① (P-7, P-9, P-10, P-0, P-2, P-4, P-8, P-5). The latter reference to the Painter seems to highlight Lulu's words, "Graut Dir vor mir?", because the Painter dreaded his good fortune when the Medical Officer expired, and Alwa witnessed its consequence.

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[339]See Appendix A for details.

[340]Ibid.

[341]Cf. pp. 102 - 105 above.

Isolation of Lulu's cadential element occurs in fl and vocal line, end b.1051-1052 (I-8), bns and hn 4, b.1053 (P-3), bcl and vc, end b.1053-1054 (P-0), bns b.1054 (P-9), and dbn and db, final beat b.1054 (P-6).

The final bars recapitulate elements from the conclusion of the exposition's codetta, e.g. vn 1 and asax accompany Lulu's fervent kisses (b.1055) with the pitches of "Liebst Du mich denn?" (II/1, b.333), whilst transposed doublings occur in obs and vn 2, enghn and va, hn 3 and vc, and Alwa's I-8 and I-2 are distributed around the bridge theme-fragments, i.e. notes 3,5,7,8,9 in bcl, bns and dbn, end b.1055-1056 and mid. b.1056-1057, respectively.[342]

The Tristan chord is no longer relevant and is replaced by BC I (pf, b.1056-beg. b.1059, doubled in the middle by ww; hns, mid. b.1057-2nd beat b.1059; vns, doubled by fls → bcl, mid. b.1058-1059), BC III (hp, b.1057), and glissandi on F♯ and the whole-tone scale (hp, b.1058-1059).

2. The recapitulation of the exposition, which corresponds with Alwa's resumed expression of love for Lulu (nothing has changed during the year's separation) and their growing passion (thicker orchestral texture), consists of:

(a) The principal theme, part 1, at identical pitch,[343] in the form of a canon (b.1059-1065), whose hesitant start was anticipated by Alwa, b.1057-1059 (I-3 : 1,2,3), fls and vn 1 (P-11 : 1,2) and cls and tpt 1 (P-5 : 1,2), b.1058-beg. b.1059. Trumpets (dux) have Alwa's P-2 (end 1st beat

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[342] Cf. II/I, b.333-335 and see p.103 above.

[343] Cf. II/1, b.243-249.

b.1059-beg. final beat b.1061 : 1,2,1-6, [7 by Alwa], 8, [9 in bns and db], 10-12, doubled initially by obs and cls → asax and enghn, and later by Lulu).

The comes, with Alwa's P-7 (minus notes 7,9), occurs in hns (end 3rd beat b.1059-beg. b.1062), doubled later by Alwa and vn 2. Its final trichord is imitated at P-4 and P-9 (dux → comes, end b.1061-final beat b.1062), which continue canonically (notes 1-6) in tpts (dux) and hns and vn 2 (comes), respectively, until b.1064; their missing notes can be found in the accompaniment, except note 4 (G♮) of P-9.

As before, Schigolch's chromaticism permeates the accompaniment and P.T. TI-7 is sounded (trbns and hp, b.1064-1065).[344]

(b) A condensed bridge passage (b.1065-1068),[345] whose theme, now in vn 1 (b.1065-1066), again contributes to Alwa's P-4 (1-4) in vocal line, b.1065,[346] but evolves into notes 5-8 of Schön's P-7 for Lulu's mention of "Deinen Vater" (mid. b.1066-1067); the opera's fate motive in hns, bd and its imitation by pf, is an added warning. This therefore anticipates Schön's P-5 in asax (mid. b.1067-1069, with note 12 in hn 1), doubled mostly by Alwa ("Deswegen liebe ich Dich nicht weniger - Komm !").

Intervallically, notes 9,10,11 (and 3,4,5) of Schön's Series are equivalent to Alwa's final trichord.

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[344]Initial D♭ in trbn 1 and hp-doubling should be D♮ - see Perle, "The Score of Lulu", p. 132. See p. 96 above for further details of recapitulation.

[345]Cf. II/1, b.249, 262-267, and see pp.97-8 above.

[346]This corresponds with II/1, end b.248-249 : asax (1,2,4) and hn 1 (3,5,7,8).

(c) The principal theme, part 2 (b.1069-1074), returns when Alwa need no longer repress "Augenblikke, wo man gewärtig ist, sein ganzes Innere einstürzen zu sehen". With the exception of the first bar, everything from b.281-286 and its repeat, b.298-301 (II/1),[347] is transposed a semitone higher, with altered instrumentation, e.g. the repetitive theme (Alwa P-5) in vn 1, which the vocal lines articulate.

(d) The closing theme at identical pitch (b.1075-1079) to mark Alwa's third reference to Lulu's eyes: "Wenn Deine beiden grossen Kinderaugen nicht wären, ..."[348]

(e) A coda (b.1080-beg. b.1087) based on Lulu's Entrance Music, e.g. b.1081-1083, has the first hexachord sequence of Alwa's P-10, P-1 and P-3 from the Prologue's b.57-59.
The significant additions are BS P-9 (3-12) by Lulu (b.1084-1085) and BC I to reflect "Dirne halten" (b.1082 : tpt 1, trbn 1 and vocal line), "Verderben gestürzt" (b.1084-beg. b.1085 : enghn, cls 1.2, bns, tpt 1, trbn 1 and vocal line), and Lulu's wish, "Ich wäre das!" (b.1086 : str, doubled by fls $\longrightarrow$ bns). The latter's setting to B♭, which cl 3 fills in chromatically, and the accentuation of B♭$^{6}_{3}$ in hns, may well be symbolic or may merely anticipate the Musette theme.

(f) The augmented recapitulation of the Sonata's second theme or grazioso Musette, with altered instrumentation (b.1087-1096).[349] This time Lulu is persuading Alwa to leave the

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[347]See pp. 100-101 above.

[348]Cf. b.318-322 (II/1) and b.1037-beg. b.1041 (II/2).

[349]Cf. I/3, b.1327-1333 (letter duet).

country with her.

Picture Trope TI-8, from the letter duet's b.1333-beg. b.1336 (brass), is retained by ww (mid. b.1093-beg. b.1095 : ① in obs+enghn, ② in obs+bn or vc's B♮, ③ in ob 1+enghn+bns, ④ in obs, enghn+bn 1), and the repeats of "... so oft wir wollen ..." (vocal lines, b.1093-1096) are variations of Schön's I-0 (12,1-6) by Lulu, b.1092-1093.

Hymn (b.1097-1150)

The Hymn "shows Alwa at the height of his erotic rapture - in fact it is the 'dithyramb' of which he speaks shortly before and in which he extols the sensual beauties of her body ... with a voice part that seems the quintessence of Berg's lyricism."[350] Alwa perceives Lulu's figure musically. His alter ego, Berg, has avoided Wedekind's simile of a symphony and changed the descriptions of its components to grazioso ankles and misterioso knees.[351] The latter and "das gewaltige Andante der Wollust" is reminiscent of the movement-titles in the Lyric Suite, viz. II Andante amoroso and III Allegro misterioso.[352] In the Hymn, a misterioso section (b.1127-1129) culminates in the chromatic ascent towards Hanna's sustained initials (two solo 1st vns, mid. b.1129-1130, doubled initially by vn 2 and va).

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[350]Carner, Alban Berg, p. 226.

[351]Cf. The Lulu Plays by Frank Wedekind, p. 127.

[352]In his preface to the Lyric Suite (W.Ph.V.173-U.E.8780), Erwin Stein writes: "Its title describes the essentially unsymphonic character of the piece, in contrast to the pronounced symphonic character of the majority of compositions for string quartet."

The music of the Hymn's first section (b.1097-1111) can be summarised as follows: See Diagram 3.

The music of the next section (b.1112-1128) reflects the mirror in the text:[353] see Diagram 4.

The two above sections are therefore linked by common ingredients and the use of refrains.

An Auftakt (b.1130 : BC I in bns and melodic BC III in hp) converges into the final section (b.1131-1150), whose opening correlates to that of each of the preceding sections, i.e. Alwa (b.1131) has notes 8-12 of BS P-6, which occur later in the complete statement of bn 2 (b.1131-beg. b.1132) - earlier (mid. b.1112-1st beat b.1113), his doubling of Lulu's P-3 (6-8) was imitated by cl 1 and hp (b.1113, from end 1st beat); in b.1131, Alwa's first four pitches can also be interpreted as four consecutive notes (5-8) of Schön's P-10 (related to Alwa's I-3 through corresponding hexachordal invariancy; each hexachord of Alwa's P-3 has five notes in common with each corresponding hexachord of BS P-6) and mid. b.1098-2nd beat b.1099, Alwa sings notes 1-4 of his P-4 (anticipated by 2-4), which are overlapped by BS P-7 (3-12, end b.1098-1101).

The final section of the Hymn is dominated initially by BS and includes the Basic Cells, Alwa and Lulu's Series, a whole-tone rise (hp, b.1039-1140) and chromatic fall (fls, cls 2.3, upper str, end b.1140-beg. b.1141), and the Picture Trope.[354]

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[353]This musico-textual correspondence is reminiscent of Lulu's Lied.

[354]See Appendix A for details.

DIAGRAM 3

Durch dieses Kleid empfinde ich Deinen Wuchs wie Musik.

* [Trichordal arrangement of Alwa's P-O, b.1097-2nd beat b.1098 : 1-3 (db), 4-6 (vc), 7-9 (va), 10-12 (vn 1), with hp and pf doubling all. Overlapping descent of BC I, b.1101 from mid 1st beat b.1101 and until beg. b.1102 for B,F#,F,C.]

Diese Knöchel : ein Grazioso;

/ • [Lulu's P-10 (1-8), b.1103 in hp, pf and vc ⟶ va; notes 5-8 are doubled by the vocal line]

dieses reizende Anschwellen : ein Cantabile;

□ [notes 5-8 of Lulu's P-10 in the vocal line] *

Modified recapitulation a tone higher:

diese Knie : ein Misterioso

/ •

und das gewaltige/Andante der Wollust

□ *

DIAGRAM 4

Wie friedlich sich die beiden schlanken Rivalen in dem Bewusstsein aneinander schmiegen,

dass keiner dem andern an Schönheit gleich kommt,

Imitative entries of Lulu's P-3 (1-8), b.1112-mid b.1113 (asax+va, whose notes 6-8 are doubled by Alwa, solo vn 1 and solo vc ⟶ cl 1+hp ⟶ cl3+pf which have only notes 1-4); the oscillation is based on her Series. The vocal line and str of b.1114 are repeated in b.1115 - the other parts are transposed. The first hexachord of Lulu's P-7, b.1117-beg. b.1118 (Alwa and vn 1) and P.T. TI-3, end 3rd beat b.1117-1118 (cls). Alwa's I-8 (1-10), mid. b.1118-mid b.1120 : 1,2,4,6,10 (vn 1, doubled mostly by Alwa), 3,5,7,8,9 (b.1119f, cl 2, vn 2); the latter fragment of the Rondo's bridge theme is concurrent with its transposition in bcl and bns.

bis die launische Gebieterin erwacht,

und die beiden Nebenbuhler wie zwei Pole auseinander weichen.

Lulu's I-10 (1-8), b.1121-1st beat b.1122 (vns doubled mostly by pf, later (notes 5-8) by Alwa and vc), i.e. the inverted counterpart of b.1112-beg. b.1113. The melody, final beat b.1121-1124 (vocal line, solo vn and solo vc) is an inversion and transposition (rhythm initially retained) of that from final beat b.1112-1115, except for a minor difference at the start of final repeat-bar. The melody (vocal line, solo vn), mid. b.1124-2nd beat b.1126, retrogrades that of mid. b.1115-1116. The first hexachord of Lulu's I-8, b.1126-beg. b.1127 (obs, vn 2, with notes 2-6 in vocal line and vn 1), followed by Alwa's P-11 (end b.1126-mid. b.1128 :1,2,4,6,10-12 in ob 1, vn 1, doubled mostly by ob 2 and Alwa, with a repeat of the final trichord at P-7 in the rest of vn 1, end b.1128 ; 3,5,7,8,9 in hns 3.4, vc), is the inverted counterpart of b.1117-1120; P.T. TI-3 (b.1117-1118) is replaced by BC I (mid. b.1126-beg. b.1127 : cls and vib) and the added bridge theme fragment (b.1119-1120: 3,5,7,8 of Alwa's I-5) is mirrored by that in vc, end 2nd beat b.1128-beg. b.1129 (i.e. 3,5,7,8,9 of Alwa's P-5).

The quasi grazioso Musette theme returns briefly (mid. b.1136-mid. b. 1138 : vocal line, doubled initially by ob 1 and cl 1, later by 1st and 2nd desk vn 1, whose segment is imitated by 1st desk va, end b.1137-1138, and 1st desk vc, b.1138-beg. b.1139, i.e. semi-tonal descent) to accompany Lulu's confirmation, "Du kommst also heute doch mit mir?!"

Lulu's inopportune, casual question (rhythmic speech), "... Ist das noch der Diwan, auf dem sich Dein Vater verblutet hat?" (b.1145-1147) is reminiscent of her statement at the end of the Rondo's exposition: "Ich habe Deine Mutter vergiftet ..." (II/1, b.337).
There it was followed by an explosive tumultuoso, here Alwa lets out a stricken shriek, "Schweig Schweig ..."
The Hymn and Act II end on the chord F-E-A-C in the opera's fate rhythm, which is related to Schön's fate at the end of Act I (F-E-A-C#).[355]

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[355]See p. 83 above.

Act III,[356] Scene 1

Scene 1 takes place in the Marquis' spacious Parisian salon. Lulu is his mistress but still lives with Alwa, who is now a pimp. Lulu's Pierrot portrait, enframed in gold, is set into the wall and she plays hostess. The Acrobat proposes a toast in honour of her birthday and struggles with her French name, "der Gräfin Adelaide von ..." This is acknowledged by the assembled party, which comprises a fifteen-year-old girl and her mother, a female artist, Geschwitz, Alwa, the Marquis, a journalist, the Banker and the attendant Groom and Manservant. They disperse slowly towards the gaming-room.

Introduction and 12-part Ensemble I (b.1-52):

A. Circus Music (b.1-12, 14-25),[357] BC II-curtain music (end b.12-beg. b.14)

B. Ostinato (b.25-38)[358]

C. Circus Music refrain (b.39-52)

Alwa joins the Banker, Journalist and Mother, and they discuss their investment in Jungfrau Railway shares. The Marquis wishes to talk to Lulu in private and the Acrobat gives her a note.

Transition[359] (b.53-82)

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[356]For details of Act III's completion by Friedrich Cerha, see Friederich Cerha, Arbeitsbericht zur Herstellung des 3. Akts der Oper LULU von Alban Berg (Vienna: Universal Edition, 1979), and Perle, The Operas Vol. 2, pp. 260-295.

[357]The Circus Music returns for the first time since the Prologue (b.9-16). Reich points out that its 'mechanical orchestra' (orchestrion) equates the falsity and brilliance of the circus (Prologue) and the Ensemble-society-scenes (III/1). See Reich, The Life and Work, p. 171.

[358]In the score, Berg calls for distinction of the main voices (H, N) above the 'Rhabarbarhabarba-' (Rhabarber-Rhabarber) murmering of the rest.

[359]Designated "Melodrama" by Perle, in The Operas Vol. 2, p. 75, and Jarman in The Music, p. 206.

Lulu is being blackmailed by the Marquis : either she takes the job in a Cairo brothel, which he has arranged in return for twelve hundred Marks in English gold, or he reveals her whereabouts to the police and receives the reward of a thousand Marks. Lulu rejects the job, saying that she may have enjoyed it at fifteen, but during her stay in the isolation ward, she grew to know and believe in herself ("Aber ich kann nicht das Einzige verkaufen, was je mein Eigen war", b.212-222). She has until 11 o'clock to decide.

Concertante Chorale Variations or Duet I (b.83-230):

Variation 1 (b.83-88)

English Waltz, Episode 1 (b.89-98)

Variation 2 (b.99-102)

Intermezzo 1: Procurer's Song (end b.102-118)

Intermezzo 2: Apassionato (b.119-124), Lied der Lulu (b.125-145)

Variation 3 (b.146-149)

Quasi Recitative, Episode 3 (b.150-153)

Variation 4 (b.154-157)

Episode 4: English Waltz (b.158-171), Procurer's Song-fragment (b.172-beg. b.176), Appassionato reprise (b.176-181)

Variations 5-12 (b.182-230)[360]

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[360]Each variation is demarcated by double bar-lines.

The party returns from the gaming-room. Everyone has won and they celebrate with champagne, followed by dinner.

Ensemble II (b.231-294):

A. Circus Music: Refrain (b.231-243), "Alle Welt gewinnt" (b.244-252)

B. Contrasting Section (b.253-261)

C. Circus Music Refrain (b.261-294)[361]

The confrontation between Lulu and Geschwitz is interrupted by the Acrobat. He wishes to discuss the blackmail note, passed to Lulu earlier - Geschwitz leaves to join the others in the dining-room. He threatens to denounce Lulu to the police if she does not cast herself as a sacrificial offering to obtain twenty thousand Marks from Alwa. He needs the cash to marry a woman of noble birth and Lulu has until the next evening to produce it.

Duet II (b.294-352)

The party enters the drawing-room, sated and idly chattering. They move slowly into the gaming-room. The Banker is detained by the delivery of a telegram : "Jungfrau - Drahtseilbahn - Aktien gefallen auf —"

Pantomime (b.353-369)

Schigolch is admitted through the hidden door and Lulu, who has not joined the others, receives him. He requests money in order to support his

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[361]In b.261, attention is drawn away from the group ("Hier löst sich die Gruppe auf") to the dialogue between Lulu and Geschwitz - their interaction had already started in b.246. Cerha has realised the optional 22-bar insertion (b.261-284), which extends the Ensemble and clarifies their dialogue. For further details see Cerha, Arbeitsbericht zur Herstellung, p. 11, and Perle, The Operas Vol. 2, p. 278. Jarman's Formal Structure of Act III omits the twenty-two optional bars. See The Music, p. 206 and Corrigendum.

girlfriend. Lulu breaks down and tells him about the Acrobat's threat. Schigolch promises to dispose of him if Lulu can lure him to his place. Schigolch plans to remove his gold earrings when he is drunk, and then push him out of the window into the water below.

Duet III (b.370-469)

The Acrobat is confronted by the Marquis and denies the latter's accusation of blackmail. The Marquis leaves to inform the police.

Cadenza for solo violin (Marquis) and piano (Acrobat) b.470-498

Lulu approaches the angry Acrobat, receives a mouthful of abuse, and suggests he spends the night with Geschwitz - Geschwitz will then lend Lulu twenty thousand Marks. He accepts and Lulu persuades Geschwitz to take the Acrobat to Schigolch's address.

Sequence of four types of declamation[362] (b.499-563)

Turbulence erupts in the gaming-room and the party spills out. The Banker, forewarned by the telegram, refuses payment in shares and accepts cash only. Everyone has lost.

Ensemble III (b.564-651)[363]

A. Circus Music (b.564-597)

B. Ostinato (b.597-607)

C. Circus Music: Transition (b.608-613), "Alle Welt verliert" (b.614-622)

D. Contrasting Section (b.623-633)

E. Circus Music (b.633-651)

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[362]Defined by Berg's diagram in the score.

[363]According to Reich and Carner, "A note in the score [particell only] qualifies the mood and declamatory tone of these ensembles:
1. Flau (listless) - parlando
2. Festlich (festive) - cantato
3. Aufgeregt (excited) - spoken."
See Reich, The Life and Work p. 171, and Carner, Alban Berg, p. 235.

The Mother faints. Lulu, who in the meantime exchanged clothing with the Groom, escapes with Alwa before the Marquis and police arrive.[364]

Melodrama (b.652-673), accelerating into a Recitative (b.674-692)

The two scenes of Act III are bridged by Variations I-IV on the Procurer's Song (b.693-736).

Act III, Scene 2

In a London attic, Schigolch and Alwa await Lulu's return from the streets. She is making her debut as a prostitute and Alwa is not at all happy about her new role. They hide as Lulu brings in her first client, the Professor, and goes to her room.

Scena I (b.737-823):

A. Melodrama, Part 1:Theme-Barrel Organ Music (b.737-752)

B. Melodrama, Part 2 (b.753-767)

C. Lulu and the Professor, first entrance, (b.768-823)[365]

Alwa and Schigolch crawl out of hiding. Alwa kneels before Lulu's door and Schigolch goes through the Professor's coat pockets, taking out a book: "Exhortations for Pious Pilgrims and such, as would become the same".[366] They return to their hiding-place when the Professor leaves.

Scena II (b.824-869):

A. Melodrama, Part 1: Theme-Barrel Organ Music (b.824-842)

B. Melodrama, Part 2 (b.843-849)

C. Lulu and the Professor, second entrance (b.850-869)

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[364]Reminiscent (shadow) of her clothing exchange with Geschwitz to escape from prison, and her flight from Germany to Paris at the end of Act II.

[365]Cerha has reproduced the tempo chart which appeared in Berg's particell. It shows the written-in ritardando for the last scene.

[366]In the score, Cerha mentions Berg's handwritten note, which suggested the substitution by another title - something on morality.

Alwa, Lulu and Schigolch's postmortem is interrupted by the sound of footsteps on the stairs.

Transition (b.870-887)

Geschwitz enters. Instead of money, she brings Lulu's portrait, now a rolled-up canvas with peeling paint. Lulu is horrified by the reminder of her former self, but Alwa regains his self-respect before it. He hangs it up proudly and the four reminisce before it.

Allegro (b.888-959)

Quartet (b.960-1006)[367]

Lulu leaves for the streets despite Alwa and Geschwitz's protest. Geschwitz follows her.

Variation IV from Interlude (b.1008-1016) plus extension (end b.1016-1023)

Schigolch reprimands Alwa for trying to stop Lulu and for not going out to work himself. Alwa reveals that he has venereal disease, which Lulu had caught from the Marquis.

Schigolch speculates that Lulu cannot make a living from loving since her life is love. Footsteps are heard. Schigolch retreats into hiding. Alwa remains where he is, concealed under his travelling rug. Lulu enters with

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[367]For details of the "sketched-in" vocal quartet, see Perle, The Operas Vol. 2, pp. 270-272.

her second client, the Negro. They argue about payment, Alwa intervenes and the Negro kills him.

Scena III (b.1024-1109):

A. Variation II (end b.1023-1047)

B. Melodrama (b.1048-1057)

C. Lulu and the Negro (b.1058-1109)

The Negro leaves and Lulu flees to the streets soon afterwards. Schigolch emerges and drags Alwa's corpse into the hiding place. Geschwitz arrives and he leaves for the pub. Left alone, Geschwitz contemplates suicide. Her farewell-address to Lulu's portrait is interrupted by the entry of Lulu and her third client, Jack. She identifies Geschwitz as her insane sister. He is suspicious and wants to leave. Lulu begs him to stay and gives him her final coin. When they go into her room, Geschwitz resolves to return to Germany, to fight for the rights of women. Jack kills Lulu and Geschwitz rushes to her aid. Jack stabs Geschwitz and exits. Geschwitz addresses Lulu once more: "Ich bin dir nah! Bleibe dir nah, in Ewigkeit!", and dies, as the final harmonic progression reaches its destination in a chord whose lowest note is F and whose highest is H,[368] i.e. Hanna's initials. In a letter to Helene, dated 9 March 1934, Berg wrote:

> ... (Haven't much feeling really for the character of the Countess Geschwitz, though I must respect her. I find her harder to set to music than all the rest of Lulu's 'satellites' put together. But now at last it looks as though I've found the right notes for both her closing stanzas).[369]

Geschwitz's last words are analogous to Berg's address to Hanna: "one and

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[368]Perle, The Operas Vol. 2, p. 26.

[369]Berg, Letters to his Wife, p. 424. According to Redlich, Geschwitz's "melodic" phrase, "Ich bin dir nah" is "borrowed from Marie in Wozzeck and sung to the earlier opera's Leitmotive of compassion:" See Alban Berg, pp. 197-198.

only eternal love."[370]

Scena IV and Finale (b.1110-1326):

A. Variation III (b.1110-1122)

B. Transition (b.1123-1145)

C. Sostenuto (b.1146-1187)

D. Lulu and Jack: Adagio, Part 1 (b.1188-1234)

E. Adagio, Part 2 (b.1235-1278)

F. Nocturno (b.1279-1291)

G. Largo (b.1292-1314)

H. Grave (b.1315-1326)

The opera's overall formal unification is effected by recapitulative episodes or Leitsektionen, which become increasingly extensive as the work progresses.[371] Their recapitulation in Acts II/2 and III is listed as follows:[372]

Act II, Scene 2

Largo, b.788-814 : Ensemble, II/1, b.94-120

Kammermusik, b.857-863 : Prologue, b.44-45, 49-54

Kammermusik, b.908-922 : Ensemble, II/1, b.173-194

Melodrama, b.953-1000 : Prologue, b.44-59

Rondo, middle section, b.1001-1003 : Prologue, b.60-61 [44-46]*

(Lulu's Entrance Music) b.1010-1015 : Prologue, b.60-62 [68-beg. 73]
b.1030-1037 : Prologue, b.44-45, 57-59

Rondo, recapitulation, b.1080-1085 : Prologue, b.56-60 [55-59]

Musette, b.1087-1093 : Sonata, recapitulation, I/3, b.1327-1333

*Author's modifications indicated in square brackets.

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[370]See p. 68 above.

[371]Perle, "Thematic Material and Pitch Organization", p. 269.

[372]As in Perle's table of recapitulated Leitsektionen. See The Operas Vol. 2, pp. 82-84.

Act III, Scene 1

Introduction and Ensemble I, Circus Music, b.1-12 : Prologue, b.9-16

Duet I or Chorale Variations, Episode 1, b.89-98 : English Waltz, I/3, b.1041-1050

Intermezzo 2, Appasionato, b.119-124 : Lulu's Arietta, II/1, b.625-629

Intermezzo 2, b.125-145 : Lied der Lulu, II/1, b.491-507, 533 [from mid. 531]-537

Episode 4, b.158-171 [161] : English Waltz, I/3, b.1040-1054 [1044] [168-171] [1051-1054]

Episode 4, Appasionato, b.176-179 : Lulu's Arietta, II/1, b.625-627

Variations 8-10, b.205-223 : Lulu's Arietta, b.628-[beg.] 646

Ensemble II, Circus Music, b.231-242, 261-271 [and 272-282], 283-294 : Prologue b.9-16

Duet III, b.440-446 : Nonet, I/2, b.517-521

b.447-450 : Nonet, b.489-492

b.455-462 [mid. 459] : Nonet, b.507-514 [beg. 511]

Ensemble III, Circus Music, b.577-582 : Prologue, b.1, 10-14

Ostinato, b.596 [end 595]-609 : Ensemble I, III/1, b.24 [end 23]-40

Circus Music and Contrasting Section, b.614-633 [614-626, 629-633] : Ensemble II, III/1, 244-261

Circus Music b.637 [end 636]-642 : Ensemble I, b.41 [end 40]-46

b.643-650 : Prologue, b.10-15

Recitative, b.676-678 : Prologue, b.56-57

Act III, Interlude

Variations I-IV on the Procurer's Song, b.693 [end 692]-708 : Chorale Variations, Intermezzo 1, III/1, b.103[end 102]-118

Act III, Scene 2

Scena I, Lulu and Professor, b.775-789 : Recitative, I/1, b.284-292
b.791-823 : Canzonetta, I/1, b.258 [end 257]-283

Scena II, Melodrama, Part 1, b.827-842 : Scena I, Barrel Organ Music, III/2, b.737-752

Lulu and Professor, b.850-869 : Canzonetta, b.258 [end 257]-272

Allegro, b.926-944 : Rondo, exposition, II/1, b.318-325
b.956-959 : Rondo, recapitulation, II/2, b.1065-1069

Quartet, b.960-973 : Rondo, recapitulation, b.1059-1065
b.974-1007 : Hymn, II/2, b.1102-1111 [minus 1108], 1131-1145 [minus 1137-1138]

Variation IV from Interlude, b.1008-1016 : Interlude Variations on the Procurer's Song, Act III, Scenes 1/2, b.730-736
extension, b.1017 [end 1016]-1022 : Interlude Variations, b.730-736

Scena III, Variation II, b.1024 [end 1023]-1045 [beg. 1048] : Interlude Variations, b.709 [mid. 708]-719 [beg. 721]

Lulu and Negro, b.1058-1062 : Monoritmica, I/2, b.669-672
b.1063-1067 : Monoritmica, b.685-689
b.1070-1073 : Duettino, I/2, b.417 [end 416]-421
b.1073-1080 : Duet, I/1, b.305-313
b.1080-1087 : Monoritmica, b.773-798
b.1087-1091 : Monoritmica, b.728-[beg.]734
b.1092-1095 : Monoritmica, b.676-679
b.1096-1099 : Monoritmica, b.739-742
b.1102-1108 [1109] : Monoritmica, b.853-874 [beg. 877]

Scena IV and Finale, Variation III, b.1110-1119 : Interlude Variations, b.725-729, 720-724

Lulu and Jack, b.1193-1199 : Sonata, exposition, I/2
(Adagio, Part 1) b.615-619 [and 621]
b.1200 [end 1199]-1211 : Cavatina, II/1, b.61-72
b.1211-1220 : Schön's Arietta, II/1 b.40-53 [54]
b.1219-1229 : Cavatina, b.60-72

Adagio, Part 2, b.1235-1261 : Interlude, Act I, Scenes 2/3, b.958-980
b.1266-1275 : Prologue, b.56-62

The recapitulative design of the opera's second half, i.e. a shadow of the first half, culminates in the role doubling of III/2. The performers who played the Medical Officer, the Painter and Schön, return with their associative music for the parts of the silent Professor, the Negro and Jack, respectively.

Amongst the many variations on this theme of retaliation or, in Kraus' words, "the revenge of a world of men ...",[373] in Berg's sketches, is:

Medical Officer ——————→ Professor (mute)
Murdered Schön ——————→ Negro (kills son!)
Painter ——————→ Jack (knife!)[374]

The triple role, corresponding to the theme of slavery:

Prince (marriage) ⟶ Manservant (household) ⟶ Marquis (brothel)

is realised, but Berg's note, "Treat the 3 henchmen (of the theatre, the police and finance) in the same manner!",[375] is impossible because the Police Commissioner appears 27 bars after the Banker's final exist. The Banker shares the role and music of the Medical Officer.

The only new thematic material in Act III is the melody from Wedekind's Lautenlied, No. 10 ('Konfession') : see Ex. 34.

It appears for the first time as a counter-melody to the Marquis' 'Procurer's Song' (solo vn or pf accompaniment N, end b.102-118). It is

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[373]Reich, The Life and Work, p. 158.

[374]Based on ÖNB Musiksammlung F21 Berg 28/III fol. 32 in Hall, "Role and Form in Berg's Sketches", Fig. 4 and its transcription and translation, Exx. 4(a) and (b).

[375]ÖNB Musiksammlung F21 Berg 28/VI fol. 11. Ibid., Fig. 5 and Exx. 5(a) and (b).

rhythmically altered but at identical pitch (C Major ⟶ a minor).

EXAMPLE 34

1. With joy, by every oath, I swear before Almighty God, who is my judge, that I would far rather be a whore than richly possessed of fame and fortune.[376]

The Variation form dominates Act III, viz. the Chorale Variations and Interlude Variations, just as the Sonata and Rondo forms dominated Acts I and II, respectively.

The Variations of the Interlude, which symbolise Lulu's prostitution, are based on Wedekind's melody.[377] Here, the diatonic melody is gradually

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[376]The complete text, its translation and Wedekind's accompaniment appear in Jarman, The Music, pp. 245-248.

[377]Cf. the orchestrated Variations of the Lulu Suite, fourth movement.

absorbed into the twelve-note context.[378]

The first Variation (Grandioso) presents Wedekind's melody, rhythmically diminished (hn or top line of pf I, end b.692-708), in a tonal setting.[379] "The circus orchestrion-sound refers back to the false brilliance and cheating grandeur of the preceding scene in the demi-monde."[380]

"The second variation (Grazioso in $\frac{4}{4}$ time) is intended to show Lulu's response to that world (polytonal); even the brutality of the whole sphere is gracefully transformed by her temperament."[381] The theme is presented as a canon at the tritone, i.e. C major dux in cl or top line pf II (N), mid. b.708-714, modulating to a minor for its continuation in hn or top line pf I (N), mid. 3rd beat b.714-720 (final A♮ occurs in bass of pf I), and G♭ major comes in bn or top line pf I (H), mid. 2nd beat b.709-714, modulating to E♭ minor for its continuation in fl and hp or top line pf II, mid. 2nd beat b.715-720.

In Variation three, the theme (bass line of pf I (H), b.720-729) is transposed a minor third lower (A major ⟶ f♯ minor) and is harmonised mostly by fourth chords and Viennese fourth chords. "By contrast, the third variation (Funèbre, $\frac{5}{4}$ time) deals with a further station on her road of suffering - Alwa's supreme sacrifice (tonality completely dissolved)."[382]

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[378]Jarman, The Music, p. 144.

[379]See Perle, The Operas Vol. 2, p. 141.

[380]Reich, The Life and Work, pp. 173-174.

[381]Ibid., p. 174.

[382]Ibid.

In Variation four (Affettuoso), the theme is transposed (F♯ major ⟶ e♭ minor, i.e. a tritone away from the original), displaced and absorbed into the twelve-tone context of the BS. This is outlined as follows: see Ex. 35.[383]

The street organ, at the start of Scene 2, repeats the theme in E♭ major (right hand pf I, end b.736-752), hence closing the cycle of transpositions which outline the diminished seventh chord C-A-F♯-E♭.

Schigolch's comment, "Der Regen trommelt zur Parade", is reflected in the orchestral tremolando, as the sounds of the street organ fade away; in b.752, the tremolando chords evolve into five sequences, which represent a review of five men in Lulu's life:[384]

1. Trichordal presentation of Schön's P-4 (or Alwa's I-9)[385] in the form of a free chordal canon, i.e. the dux comprises upward-moving tremolando chords ① , ② , ③ , ④ , repeated three times (b.752-755 : orchestra ⟶ left hand accompaniment), which the comes imitates with downward-moving ④ , ① , ② and harmonic-melodic ③ (final beat b.754-755 : right hand accompaniment).

2. The trichordal arrangement of the Schoolboy's T-11 (b.756-759) forms a chordal canon. The comes is followed by a harmonic-melodic F♯-B-C♯ (2nd beat b.759), i.e. a mixture of ① and ②; the dux's fourth tremolando chord (B♭-A♭-C) intermingles with the first trichord of Alwa's P-4 (final beat b.759).

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[383]See also Jarman's interpretation in The Music, p. 145.

[384]Jarman, "Countess Geschwitz's Series", pp. 111-112.

[385]Alwa's inversion is only used for dramatic purposes, e.g. in his Rondo.

EXAMPLE 35

Wedekind's melody : o
(vocal score)
b.730
BSI-10:
BSI-9:
P.T. (N)
TI-10
BSP-6:
BSP-11
BSI-10:
BSP-5:
BSI-9:
BSP-5: (9 in pf I)
BSP-11 (11,12 in pf I)
BSI-7
BSP-1
BSI-4:
+pf I = P.T.TI-10
BSP-6:
BSI-7 (1-5) and I-9 (1-4) in pf I
BSI-7:
BSI-9

3. Alwa's P-4 (or Schön's I-9) is similarly arranged (final beat b.759-763). The comes concludes with harmonic-melodic ② (notes 4,5,6) and a melodic ③ ; the dux ends on ① .

4. The Acrobat's P-6 (b.764-mid. b.768) is cyclically permuted so as to begin on the third trichord, i.e. the equivalent of Alwa's third trichord. The second statement of the dux initiates simultaneities which are retained by the comes. For a change, the comes ends after the dux.

5. Schigolch's TI-7 is arranged triadically (b.770-772 : left hand accompaniment), i.e. superimposition of his tetrachords X, Y and Z to form augmented, major, minor and diminished triads, followed by a repeat of the first three, and oscillation on the first and third triads. This was anticipated by the preceding two bars.[386]

This sequence-passage "is an extraordinary tour-de- force, for - apart from the final statement of Schigolch's set - the trichordal representations of all these different sets result entirely from permutations of three linearly stated tetrachords - that is, throughout the passage each horizontal line consists of different orderings of the same four notes":[387]

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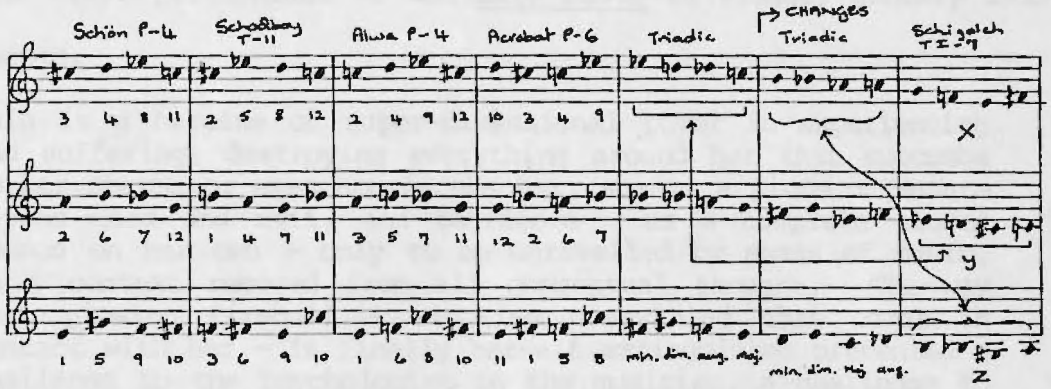
[386] D♮, 3rd beat b.768, should be D♭. See Perle, The Operas Vol. 2, p. 122, Ex. 107.

[387] Jarman, "Countess Geschwitz's Series", p. 112 and Ex. 1.

EXAMPLE 36



Only Schön's sequence is repeated and extended (b.842-850), after the recapitulation of the Street Organ Music (b.824-842).

CONCLUSION

After the first performance of the Lulu Suite in Prague, January 1935, a critic wrote:

> Lulu is a heroine of super-dimensional power in experiencing and suffering; destroying everything around her that succumbs to her charms or even approaches her, she is a piece of Nature beyond good and evil, and therefore - as a complete closed cosmos on her own - only to be unravelled by means of music, in a context removed from all conceptual thought. The way this glowing fireball - singeing everything that comes in contact with her - is finally herself extinguished presented a challenge to the psychologist in the musician, a challenge to come to terms with that unreal sphere where dream images like figures flit past into death, just because in dying they are struck once more by the last rays from some great innocent demon. After Alban Berg's Wozzeck, his Lulu will live on for ever; she has it easier than poor Wozzeck, for with Don Juan and Faust she is one of those who is constantly reincarnated amongst us changing shapes, and has only to catch a poet's glance, not be formed by him out of nothing.[388]

Berg regarded this passage "as being a particularly succinct formulation - conjuring up the mythical essence of the character of Lulu - of his own point of view. ... The reference to Don Juan touched Berg especially, as he himself liked to regard Lulu as the female counterpart of that figure."[389]

Lulu was "unravelled by means of" precompositional BS-permutations. Like Lulu and the row of the Lyric Suite, the BS underwent changes to portray the "character - 'suffering a fate'"[390] (Schicksal erleidend). As Berg anticipated in his letter to Schoenberg, 1 September 1928, "Fate" did influence his "most rigorous planning" and he had to construct "new"

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[388]Reich, The Life and Work, p. 159.

[389]Ibid., pp. 159-160.

[390]Alban Berg, "Nine Pages on the 'Lyric Suite for String Quartet'", as quoted in Rauchhaupt, Schoenberg-Berg-Webern : The String Quartets, p. 102.

rows ,[391] i.e. later row-derivations.

Lulu's underlying theme of fatality can be interpreted in terms of the Grandmother's fairy tale in Georg Büchner's Woyzeck, which served as libretto for Lulu's precursor, Wozzeck:

> There was once a poor child that had no father and no mother, everything was dead [Alles tot], and there was nobody left in the world. Everything dead, so it went about crying day and night. As there was no one left on earth, it wanted to go to heaven, and the moon looked at it in such a friendly way, and when it finally got to the moon, it was a piece of rotten wood, so it went to the sun, and when it got to the sun, it was a dried-up sunflower, and when it got to the stars, they were little golden midges, stuck on the way the shrike sticks them on a blackthorn, and as it wanted to go to the earth again, the earth was an overturned pot, and the child was all alone, so it sat down and wept, and there it still sits and is all alone.[392]

In Werner Herzog's film production of Woyzeck, Marie tells this tale to a group of restless children, which included her illegitimate child, i.e. just before Woyzeck comes to fetch her with the prophetic words, "it is time" (for her murder at the pond).

In Wozzeck, Marie relates only the beginning to her child, during Variations 5 and 6 of her repentance scene (Wozzeck III/1, b.33-41). Moreover her conclusion, "... Niemand mehr hatt' auf der Welt ..." is set to an ascending whole-tone scale (G → F, b.41) and can be linked to that in Berg's early row chart and its associative fatality theme.[393]

"It must also have occured to him [Berg] that, like Wozzeck, he too had

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[391]See p.18 above.

[392]John Simon, "Meeting of Minds", Opera News (19 January 1985) : 12.

[393]See no. 10 of Table 2 and pp.15-16 above.

fathered an illegitimate child by a girl named Marie",[394] i.e. a daughter called Albine, born 4 December 1902. Her mother was Marie Scheuchl, who worked for the Berg family. Berg attempted suicide in Autumn 1903, and acknowledged his paternity on 8 December 1903. Albine, adopted by the Manninger family, later married a Mr Wittula and died in 1954.
Berg remained secretly in touch with her until his death; consequently, she attended his funeral, unrecognised. Helene, however, had her thrown out of the reception afterwards. Apparently Albine lost her inheritance rights because she did not want to be associated with the Schoenberg circle during anti-Semitic times.[395]

In his "Praktische Anweisungen zur Einstudierung des 'Wozzeck'" (1930), Berg wrote: "... Finally, and most important of all: the preparation of the scenes in which Marie's child appears (preferably played by a little girl, since girls are much more gifted than boys of that age), ..."[396]

In conjunction with the earlier references to Wozzeck (quotations) and the fatality correspondence, Lulu's unknown origins, the anti-Semitic remarks in Act III,[397] and Helene's repression of Lulu, leads one to suspect that Lulu is the child of Wozzeck.

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[394]Perle, The Operas Vol. 2, p. 295.

[395]See Erich Alban Berg, "Bergiana" Schweizerische Musikzeitung 120/3 (May/June 1980) : 147-149; and Jürg Stenzl, "Alban Berg und Marie Scheuchl", Osterreichische Musik Zeitschrift 40/1 (January 1985) : 22-30.

[396]As translated by George Perle in "The preparation and staging of Wozzeck", Musical Times 109 (June 1968) : 521.

[397]"... der Saujud!" (Journalist, end b.590-591) and the Banker's stage indication, "sich an die andern wendend (mauschelnd)", b.597. See Perle, The Operas Vol. 2, pp. 283-284, 286-290.

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APPENDIX A

BAR	INSTRUMENT	MUSICAL MATERIAL
Chapter I		
1095	vib, vns 1.2, va	Harmonic BC I variant (F,B♭, A,D) forms link between English Waltz and Recitative
end 1095-1098	Alwa	Repetitive Alwa P-7
mid. 1100-1101	Alwa	Repetitive 1st hexachord of Lulu P-4 (note 1 in bns and db)
1106	obs 1.2, bcl, bn 1	P.T. T-6 : ④
1106-beg. 1107	ob 1	Schön P-5 : 8,9
mid. 1107-beg. 1108	bns, ob 2	Schön P-5 : harmonic 10-12
1119-1122	Alwa	Schigolch T-2 : Y, unordered Z,X, followed by its transposed retrograde (T-0 : RX, unordered Z, RY)
1123-beg. 1125	solo vc	Alwa P-5 : 2-6 (twice)
1124-beg. 1131	Prince	Alwa P-5 : 7-10; Lulu P-5 and repeat of its cadential element (9-12); Schigolch T-1 : Y, unordered Z and X
2nd beat 1126-2nd beat 1127	solo vc	Schön I-1 : 1-3 [4 in vocal line] 5-7 [8 in enghn], 9-12
end 1127-1128	hn 1	Schön P-5 : 1-7
1129-1130	hns 2.3.4	P.T. T-3 with incomplete ①
end 1130-1137	solo vc	Lulu I-11 with repeated cadential element; Lulu I-5 : 1-10 and ostinato-like 10,6,10,9 evolving into repeats of 9-12
mid. 1130-1131	enghn	Schigolch T-7 : Y, overlapped largely by T-8 : Y, unordered Z
3rd beat 1132-end 1st beat 1133	enghn	Schigolch T-8 : X and RX of T-9
end 1131-1132	bcl	Sequence of Schigolch-related, 4-note figurations, rising in whole tones F♯,G♯,B♭,C

BAR	INSTRUMENT	MUSICAL MATERIAL
1133	ob 1, enghn, bcl	P.T. TI-11 with incomplete ①
1134-1135	Prince	Prince P-5 : 1-6
1135-beg. 1139	vn 1	Schigolch T-10 : Y, unordered Z, repetitive X; BC I (B,F♯,F, C)
end 1137-beg. 1140	solo vc	Lulu P-11
end 1139-beg. 1140	vns 1.2	Schön P-8 : 1-4
beg. 1140, after G♮ -beg. 1144	solo vc	Schön P-8 : 1, chromatic consequent (9,10,12), 3-8
end 1140-1141	fls	Lulu I-4 : 1-8
1142-beg. 1143	bn 2	BC I (E,B,B♭,F)
end 1142-mid. 1147	Prince	Schigolch TI-11 : Y,Z, and repetitive X with added C (mid. b.1146)
1144	bn 2	BC II variant (D,A♭,B♭,B,E); replacement of initial note by hn 3 (E♭) gives BC II (E♭, A♭,B♭,B,E)
1145-1147	bn 2	BC I variant (B,E,F,C) overlapped by inverted BC II (F,C, A♯,A; E is provided by hn 1)
1145-1148	bns, dbn, hn 1 bns, hn 4 bns, dbn	P.T. TI-9 : ① ② ③ ④
1147-beg. 1150	solo vn 1	Schön P-2 : 1-7
1148-1149	Prince	Alwa P-2 : 2-6

common notes 1,4,7,10 exploited in Act II's tumultuoso Sections, e.g. Alwa wooing Lulu end b.273-274 (P-3 trbns → str - see pp. 98-99 above

end 1209-1211	Schön	Schön P-4 : 1-10
end 1211-end 3rd beat 1212	solo va	Schön P-4 : 11,12 overlapped by first four notes of P-7
1212-1213	Lulu	Schön P-6 : 1-9

BAR	INSTRUMENT	MUSICAL MATERIAL
end 1213-end 3rd beat 1214	pf	Schön P-3, minus notes 4 and 10
1215-1217	Schön, va	Schön P-2, overlapped by P-5 (1-9)
1215-1218	asax	Schön P-1
1216-1218	bn 1	Schön P-11
1216-end 3rd beat 1218	fl 1	Schön P-10
1219, after tied G♮ - 2nd last ♪ 1220	Lulu	Schön P-4 : 10-12,2,3,5-8
mid. 1219-3rd beat 1220	db	Schön P-4 : 1,4,11
mid. 1220	hns 2.3	Schön P-4 : 9,10,12
1221-beg. 1223	Schön	Schön P-9 : 1-12,1,2
end 2nd beat 1221 -1223	fl 1, doubled mostly by solo vn 1 and in part by rest of fls	Schön P-9 : 8-11,2,1-4 [5 in fls 2.3 and solo vn 1 and 6,7 in fl 2]
1222-1224	pf	Schön P-8 : 8-12,1-6 Repeated A♮ forms harmonic BC III
1224-1225	bn 1	Schön P-7 : 9-12,1-6
1228, after tied F♮ -1230	asax, doubled later by bcl	Schigolch TI-2 : Z; TI-3 : Y
1228	pf	Schön P-8 : 1-6
end 1237-mid. 1238	solo vc 2	Schigolch TI-3 : Z
1241-2nd beat 1243	solo vn 1	Schön I-2
mid. 1243-beg. 1245	enghn	Lulu P-7 : 4-12, preceded by twisted variant (11,12,11)
1244-1246	vc	Schön I-3 : 1-5, added C; I-5 : 2,1-8,1
1245-beg. 1246	Schön	Schön I-3 : 5-10
3rd ♪ 1248-1251	vc	Schön I-10 : 2,1,3-12,1,2, overlapped by I-5 : 1-10,12
1250-1252	btuba	Coda theme
1252-1253	vc, doubled in part by db	Coda theme

BAR	INSTRUMENT	MUSICAL MATERIAL
1252-beg. 1254	hn 1	Schön I-O : 1-10,12
end 1253-1255	btuba	Coda theme
1255-1256	vc	Coda theme
last three beats 1256	Schön	Schön P-5 : 1-4
1257	Lulu	Schön P-5 : 5-9
1256-beg. 1259	asax	Coda theme
end 1256-1258	btuba	Coda theme
end 1257-1259	hp	Ascending tritones evolve into melodic BC V (Schön's reference to bell)
1258-1259	vc	Coda theme
2nd ♪ 1260-beg. 1261	solo vn 1	Coda theme
1268-1270	Schön	Schön I-7 : 1-12 (with 3-5 repeat), 1,2
end 2nd beat 1269-1270	trbns 1.2	Schön I-5 : 1-9
1270-3rd beat 1271	Lulu	Lulu P-2
1277-mid. 1278	vn 2, va	Lulu P-6
2nd-4th beat 1277	vc	Schön P-1 : 1-5
beg. 1278	db	Schön P-1 : 6,7
1278-mid. 1279	Schön Lulu between ob and cl, doubled mostly by pf	Schön P-1 : 8-11 Schön P-1 : 12 Second Sonata theme
1278-end 3rd beat 1279	trbns 2.3	Schön I-11 : 1-4; I-2 : 1-4
1278-2nd last ♪ 1279	hns	Coda theme
mid. 3rd beat 1279-1280	cls	Schön I-2 : 1-5,7,6,8,10,9,11 [12 in bcl]
end 3rd beat 1279-1280	vn 1	Schön I-9 : 4-11 [12,1,2, in va]

BAR	INSTRUMENT	MUSICAL MATERIAL
end 1279-1280	fls 1.2	Schön I-5 : 7-12,1,2
until mid. 1280	bns 1.2	Schön I-5 : 2-5
1280	vc, doubled by bns and mostly by dbn	Schön P-1 : 1,2,3,8,5,6
1280-mid. 1281	db	Schön P-1 : 7 and 6 (twice) 9,10,12
1281-beg. 1282	trbns 1.2.3	Schön P-4 : 1-7 [8 in asax], 9,10,12
end 1281-1282	vc	Schön P-7 : 1-7, doubled by pf and mostly by va+db [8,11 in vocal line, 9,10,12 in db]; P-10 : 1-7
1282-beg. 1283	hns	Schön P-9 : 1-7, [8 in asax], 9,10
1283	Schön	Schön P-10 : 1-7
1284-mid. 1286	Lulu, doubled by solo vn 1	Schön P-10 : 8-12; I-1
mid. 1286-mid. 1288	vc (upper stave) doubled by rest of str	Coda theme
mid. 1286-3rd beat 1287	enghn	Schigolch T-8 : Y and first pitch of Z
1287-mid. 1290	fl	Schigolch T-2 : Y and first two pitches of Z
1289-1290	hns 1.3, doubled mostly by hns 2.4	Schön P-8 : [1 in hns 2.4], 2-12,1,2
1290-mid. 1292	vn 2, doubled by vn 1→ob, enghn and Schön	Schön P-6 : [1 in va], 2-12,1, 2
1291-beg. 1292	hns 2.4	Schön I-4 : 1-4
1292-beg. 1295	vc, doubled mostly by va and later by Schön	Schön I-4 : 1,5-12; added note F♮; I-11 : 1-9,10,12
mid. 1292-1294	cls 1.2, doubled partially by Schön	Schön P-11 : 1-9,10,12,11
up to 3rd beat 1294	obs 1.2	Schön P-11 : 9,10,12
mid. 1294	enghn, asax	Schön P-11 : 9,10,12

BAR	INSTRUMENT	MUSICAL MATERIAL
1296	pf, doubled by cls+asax	Simultaneous Lulu I-10 (1-8), I-5 (1-8) and I-1 (3-8, with note 2 in asax), which form sequence of first inversion minor triads (roots in I-10)
mid. 1297-3rd beat 1298	vn 1 doubled in part initially by cl 1 and Schön, later by vn 2	Schön P-6 : 5-9,10,12
1298-beg. 1299	cl 1	Schön I-5 : 1-4 [5 in asax]
end 1298	bns	Painter Dyads P-5 (5-11,6-12, 1-7,9-3)
1299-beg. 1300	cl 1	Schön P-9 : [1,2 in solo vn 1], 3-10,12
mid. 1302-1303	solo vn 1	Lulu P-1 : 1-8, [9 in va], 10, 11
first half 1302	bn 2	Schön I-5 : 2,1,2,3,4
end 1310-beg. 1316	Lulu	Lulu I-10 : 1-12; repeat of notes 7,8,9 (three times), bridged by added G♮ to another repeat
1318-beg. 1320	vn 1 (the rest) vn 2	Melodic and harmonic BC III (D,F,A♭,B)
mid. 1320-beg. 1321	vn 2, va, later va, db	Melodic BC III (A♭,F,D,B) forming sequence of diminished triads
end 1318-beg. 1320	hn 1	Lulu I-3 : 1-7 [8,9 in hn 2]
1321-1323	Lulu	Lulu P-5 : 1-11
end 1321-1323	trbn 1	Coda theme
1322-1323	enghn	Coda theme, imitated by asax (b.1322-1324)
1323-1324	hn 1	Coda theme
1324-1325	ob 1, tpt 1	Coda theme
1333-beg. 1336	tpts 1.2, trbn 1	P.T. TI-8
end 1333-mid 1334	bn 2, vc (the rest)	Chromatic descent
1334-mid. 1335	Lulu, fl 1 solo va and vc	Chromatic ascent Chromatic ascent

BAR	INSTRUMENT	MUSICAL MATERIAL
2nd ♪ 1337-1338	Lulu	BC I (G,D,C♯,G♯), i.e. fourth-dyads of Series A
end 1st beat 1338-beg. 1339	solo va, vc	BC I (F,C,B,F♯)
1345	vib, vn 1, va	BC I (F♯,C♯,C,G), i.e. fourth-dyads of Series B
end 1345-beg. 1347	rest of vns	Incomplete BC IV
1346-mid. 1348	tpt 1	BC I (F♯,C♯,C,G)

BAR	INSTRUMENT	MUSICAL MATERIAL
Chapter II		
243	vn 2 (lower part), va (upper part , until mid. bar)	Schigolch TI-3 : Y
243- beg. 248	vc	Schigolch TI-8 : Y,Z; Schigolch T-2 : RX; overlapped by Z of Schigolch TI-1
243-247	db	Schigolch TI-10 : Y,Z; T-4 : RX
end 243-247	va	Schigolch TI-2 : final two pitches of Y (concurrent with the first two in vn 2), Z; T-8 : RX
2nd beat 244- end 1st beat 245	vn 2	X of Schigolch T-11 and TI-10
mid. 245-mid. 247	asax	X of Schigolch TI-8 and TI-2; T-3 : RX
249	trbn 2	Schigolch T-9 : Y and first pitch of Z
mid. 249	hn 1	Schigolch T-8 : RX
262-265	Lulu	Schigolch T-0 : repetitive Y, cyclically permuted Z (or RX of T-8, due to tetrachordal invariancy ✂) twice, RX; T-8 : RX twice; T-9 : repetitive Y, unordered Z (missing G supplied by ob 1)
262-mid. 264	asax	Schigolch T-0; Y twice after repeated prefix; T-8 : RX
263-3rd beat 268	vc	X of Schigolch T-11 and T-1; T-11 : Y, unordered Z and first note of X; Y of TI-5 and TI-1; Z of T-4, overlapped by Z of TI-11
mid. 263-265	hn 1	Schigolch T-0 : unordered Z, X; T-1 : X

BAR	INSTRUMENT	MUSICAL MATERIAL
first half 265	ob 1	Schigolch T-9 : X
final beat 265-3rd beat 268	va	Schigolch TI-3 : Y, unordered Z; Z of T-10, overlapped by Z of TI-5
end 265-267	vn 2	Schigolch TI-10 : Y, unordered Z and first note of X
end 267-268	db	Z of Schigolch T-6, overlapped by Z of TI-1
268-270	Alwa	Alwa's repetitive P-1
270	vns 1.2 vc	Schigolch T-11 : RX, twice Schigolch T-2 : RX
270-272	Lulu	Alwa P-1 : 10-12, overlapped by BS P-10, whose note 9 (A) is in cl 1
2nd beat 272-2nd beat 273	pf (top line)	Schigolch TI-2 : Y
275-276	Alwa	Repetitive BS P-7
end 3rd beat 275-beg. 276	asax	Schön P-4 : 9-11
beg. 276	bn 1 hp	Schön P-4 : 12/Alwa P-10 : 12 Alwa P-10 : 10,11
277, until 3rd beat	asax	Schön I-5 : 9-11, [12 in enghn]
278-280	Lulu	Repetive BS P-10
end 278-4th beat 280	cl 1, vn 1 (top line)	BS I-8
mid. 280	hn 1	Schigolch T-10 : RX
281-mid. 284	vn 2, va	RX of Schigolch T-10, T-0, T-2, T-5, T-8, T-1 and T-3
281-283	vc, db	Schigolch T-4 : Y, cyclically permuted Z (or RX of T-0), X, Y
end 2nd beat 281-284	cls	Schigolch T-0 : Y, cyclically permuted Z (or RX of T-6), X; Alwa P-4 : 1-6,8
284	vc	Schigolch T-0 : X (trill, after tremolo on first two pitches)

BAR	INSTRUMENT	MUSICAL MATERIAL
end 301-302	Alwa	Alwa P-6 : 12,11,6-10
302	solo vc, hp (lower stave)	Alwa P-6 : 1,3 oscillation
end 2nd beat 302 -end of bar	solo va, doubled later by fl 1	Alwa P-6 : 2,4,5
mid. 302-beg. 304	Lulu	Alwa P-3 : 1-7
end 304-305	Alwa	Alwa P-4 : 1-4
end 305-306	Lulu	Alwa P-4 : 5-8
309	Lulu	Alwa P-9 : 10-12
310-313	pf	Oscillation between "white- and black-note" clusters, prefixed by BC II (E,A,B,C,F), to accompany the Acrobat's appearance and retreat
311-313	trbns	c 𝄴 opening of Alwa's P-7 (1-3) evolving into C 𝄴 opening of Schön's P-7
313-316	cls	Schön P-7 : 3-12,* 10-12
314 (after initial tied E)-316	bcl, bns	Alwa P-7 : 5,6,8,9,11,12,11,12
end 1st beat 323 -324	Alwa	RBC II (G♯,D♯,D,C,G)
323-324	hp, db	Alwa P-8 : 3, 1-4
324-325	Lulu	BS P-6 : [1 in va], 2-7
3rd beat 324	vn 1	Alwa P-11 : 10-12 (imitation of P-8's 10-12, just before)
end 324-326	cls, bcl	P.T. TI-6 : ①, ② (doubled by bns), ③ and ④ completed by bns 1.2 and asax, respectively
325	Alwa	BS P-6 : 8,7,6
326-327	Lulu, fl 1, solo vn 1	BS P-6 : 8-12, 1-4

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* A♯ should be G♯ (note 9). See Perle, "The Score of Lulu", p. 132.

BAR	INSTRUMENT	MUSICAL MATERIAL
327-328	cl and bcl, bns	P.T. T-1, whose ④ is resolved after added F♯ in cl 2 and bn 2, beg. b.327
327-mid. 329	Alwa	BS P-3 : 9-12, 1
328-329	Lulu, fl 1, solo vn 1	BS P-6
329-2nd beat 332	trbns	Four statements of P.T. T-2, doubled by vc and db, from mid. b.330
330	tpts, vn 2 and va	P.T. TI-O with incomplete ④ twice
beg. 330	Lulu	First four pitches of Lulu's I-7, anticipating their source, i.e. P.T. TI-O mentioned above
331-332	Alwa	Lulu P-7 : 1-4 (from P.T. T-2), chromatic bridge, and Lulu I-1 : 1-4 (from P.T. TI-6)
first half 332	hns, vn 2 and va	P.T. TI-6
mid. 332-beg. 333	trbns, va and vc	P.T. T-8
332-beg. 333	fl 1, solo vn 1	Pitches of Lulu's "um Gottes-willen!" from b.330-331, and the 4-note figuration anticipating the intervallically related (m3-st-m3) setting of Lulu's "Liebst Du mich denn?" in b.333
336-338	trbns	f♯𝄞-F♯𝄞 openings of Alwa and Schön's P-1
end 338-339	pf	Acrobat's Trope
338-3rd beat 341	vc	Schön P-1 : [1 in db], 2-3 (harmonic), 4-11, [12 in db]
	db	Alwa P-1 : 1,5,6,8,9,11
340-341	trbns	a𝄞-A𝄞 openings of Alwa and Schön's P-4
end 341-end 2nd beat 342	vc	Schön P-4 : 4-11, [12 in db], preceded by 1-3 in str, which trbns articulate, 2nd beat b.341
end 340-343	db	Alwa P-4 : 1,5,6,8,9,11,12

BAR	INSTRUMENT	MUSICAL MATERIAL
end 342-344	fls	Lulu I-2 : 1-9
343-344	trbns	c$\frac{6}{4}$-C$\frac{6}{4}$ openings of Alwa and Schön's P-7
end 343-344	Lulu	Lulu I-2 : 7-9
2nd beat 344-end 1st beat 345	vc	Schön P-7 : 3-11, [12 in db], preceded by 1-3 in str, which trbns articulate, 2nd beat b.344
end 343-346	db	Alwa P-7 : 1,5 (simultaneous with 1), 6,8,9,11,12; Alwa P-10 : 5,6,8,9,11 [12 in trbn 2]
345	hns	e♭$\frac{6}{4}$-E♭$\frac{6}{4}$ openings of Alwa and Schön's P-10
end 345-346	va	Schön P-10 : 3-9,12,11 (last five pitches form BC II variant)
346-347	trbns	g$\frac{6}{4}$-G$\frac{6}{4}$ openings of Alwa and Schön's P-2
347-end 1st beat 348	vn 2	Schön P-2 : 3,4, added note G♮, [5 in hn 3], added note F♮, 10,11, [12 in vc]
347-349	vc	Alwa P-2 : 5,6,8,9,11,12
347-348	hns	b$\frac{6}{4}$ (incomplete)-B$\frac{6}{4}$ openings of Alwa and Schön's P-6
348-end 1st beat 349	vn 1	Schön P-6 : 3-11, [12 in va]
mid. 348-3rd beat 349	va	Alwa P-6 : 5,6,8,9,11,12
348-349	tpts, trbns	e$\frac{6}{4}$-E$\frac{6}{4}$ openings of Alwa and Schön's P-11
349-beg. 351	vn 2	Schön P-11 : 3,4, [5 in va], 6-8, [9 in vocal line and vc], 10,11,[12 in cl 1 and vib]
349	hns	b♭$\frac{6}{4}$-B♭$\frac{6}{4}$ openings of Alwa and Schön's P-5. The former is repeated by obs and cls
2nd beat 349-beg. 353	va	Chromatic ascent from E♭-G♯.

BAR	INSTRUMENT	MUSICAL MATERIAL	
352-353	Alwa	Alwa P-4 : 3,4,1-4	
353	vn 1	Alwa P-8 : 1-7, [8 in cl 1], 9, [10,11 in ob 1], 12, (8,5)	
end 355-357	str	Schön P-7 : 1-3 (harmonically), 4-12 (melodically)	
356-beg. 358	obs	a♭♮ -A♭♮ openings of Alwa and Schön's P-3; Schön P-3 : 4-12	
356-357	cls	a♭♮ -A♭♮ and e♭♮ -E♭♮ openings of Alwa and Schön's P-3 and P-10, respectively	
356-beg. 3rd beat 357	tpts	e♭♮ -E♭♮ openings of Alwa and Schön's P-10	
end 357-358	tpt 1	Schön P-10 : 4-10, [11 in obs 2.3], 12	
358-360	cls	a♮ -A♮ openings of Alwa and Schön's P-4 (imitated by str, b.360-361), and e♭♮ -E♭♮ openings of Alwa and Schön's P-10 (repeat completed by bcl), which trbns imitate, b.360-361	
mid. 2nd beat 358-beg. 359	tpts	a♮ -A♮ openings of Alwa and Schön's P-4	
359 (after initial tied C♯)-360	tpt 1	Schön P-4 : 4,5, added note A♮, 7-10, [11 in vn 1 and va], 12	
mid. 361-beg. 362	trbn 1	RBC II (B,F♯,F,E♭,B♭)	
393-end 1st beat 394	tpt, trbn 1	Anticipatory chromatic consequent of Schön's I-2, i.e. notes 9,10,12	
end 397-400	asax	Lulu P-8	IMITATION
398-mid. 400	hn 1	Lulu P-8 : 1-6, [7 in vocal line], 8-12	
398-beg. 399	cl 1	Lulu P-8 : first hexachord, minus note 3 (added note C♮)	
end 398-400	ob 1	Lulu P-9 : 1-8	

BAR	INSTRUMENT	MUSICAL MATERIAL
404-mid. 405	vn 1	Schön I-1 : 8, [9 simultaneous in vn 2], 10-12, paired with vc's Schön P-8 : 8-9 (simultaneous), 10-12, to give Series A dyads
405-beg. 406	fl 1	Schön I-8 : 8, [9 simultaneous in fl 3], 10-12, paired with bcl's Schön P-1 : 8, [9 simultaneous in cls], 10-12, to give Series A dyads
end 405-406	vn 1	Schön I-3 : 8, [9 simultaneous in vn 2], 10-12,1,2, paired with vc's Schön P-6 : 8, [9 simultaneous in va], 10-12,1,2 to give Series A dyads
mid. 407-beg. 408	bcl,vc	BC I (B,E,F,B♭)
end 408-409	cl 1, vn 1	BC II (G,C,D,E♭,A♭)
410, until mid. 2nd beat	cl 1, vn 1	BC II variant (A,D,E,F♯,B)
411	cls, vn 1	Schön I-9 : 6-10; notes 11 and 12 are simultaneous with notes 10 and 9, respectively; notes 1,2,3 and 5 are sustained by brass, and 4(B) bridges Schön (end b.410) and Lulu's (b.412) vocal lines

The presentation of Schön's I-9 is reminiscent of its division into notes 1-5 and 6-12 in his Arietta.

411-414	pf	Triads : c^{6}_{4}, E^{6}_{4}, augmented on F and B♭
412-413	Lulu	First hexachord of BS P-11
413	va, vc	Painter Dyads P-8, minus final Dyad 6-12
414	cls, Lulu, vn 1	First hexachord of BS P-8

BAR	INSTRUMENT	MUSICAL MATERIAL
end 414-415	vc, doubled later by bn 1 (end 1st beat b.415)	Schön P-7 : 8-12,1,2, overlapped by Schön P-0 : 1-7, [8 in hn and lower va's BC I variant], 9
415	asax, trbn 1, upper va tpt 1, vn 2 cls, vn 1	Schön P-0 : 8,* 9-12, (10-12) Schön P-10 : 8-12,(11) Schön P-8 : 8-12
419-421	Lulu, doubled in part by vib	Lulu P-8 : 12,1-12
end 1st beat 426-beg. 427	vns	Schön P-6 : 8-12 and P-11 : 8-11, paired with vc and db's I-1 : 8-12 and I-8 : 8-11, to give Series B dyads
428-429	Schön, va	Geschwitz TI-7 : retrograded segment C [segment A (G-C) in ww-chord]
	vc	Geschwitz TI-7 : RB
end 428-431	Schön, va	Geschwitz T-0 : C,RC [segment A (G-C) in ww]
430-431	vc	Geschwitz T-0 : RB
431-432	trbn 1	Geschwitz T-1 : C [segment A (A♭-D♭) in ww]
	trbn 2	Geschwitz T-1 : B
end 431-beg. 433	vn 1, doubled by Lulu	Geschwitz T-11 : RB [segment A (B-F♯) in ww]
432-beg. 433	vn 2	Geschwitz T-11 : RC
final beat 432-1st beat 434	vc	Geschwitz T-5 : C
final beat 433-1st beat 435	va	Geschwitz T-5 : B [segment A (C-F) in ww]
436	tpt 1, Geschwitz	Geschwitz T-5 : RC [segment A (C-F) in ww; no segment B]. RC is cyclically permuted by tpt 2 (b.436-beg. b.437) and can be interpreted as C of TI-7 [segment A (G-C) in ww; no B]
final beat 436-440	Schön (first half doubled by va, second half by asax)	Geschwitz T-4 : B,C [segment A (E-B) in ww]

IMITATION

* Initial C♮ in asax should be B♮ as in the vocal score and instruments it doubles.

BAR	INSTRUMENT	MUSICAL MATERIAL
437-438	vn 2	Geschwitz T-8 : B [segment A (E♭-A♭) in ww]
	vc	Geschwitz T-8 : C
439	vn 1	Geschwitz T-3 : C paired with C of TI-4 (vc) to form Series B dyads [segments A (B♭-E♭ and E-A, respectively) in ww]
	vn 2	Geschwitz T-3 : B
	va	Geschwitz T-7 : RB (no segments A or C)
440	vn 1	Geschwitz TI-8 : B [segment A (A♭-D♭) in ww]
	vn 2	Geschwitz TI-8 : C
	va	Geschwitz T-11 : complete B, if initial F♯ is G♯ [segment A (F♯-B) in ww]
	vc	Geschwitz T-11 : C
end 440-444	tpt 1	Segments C of Geschwitz T-10 and TI-3, followed by B of T-6 and RB of TI-1 - the latter is completed by trbn 1 (B♮) [segments A in corresponding ww-chords]
	trbn 1	RB of Geschwitz TI-9 (complete if second pitch, A, is B), B of TI-11, and segments C of T-6 and TI-1 [segments A in corresponding ww-chords]
end 440-441	trbn 2	Geschwitz TI-9 : RC
441-beg. 442	tpt 2	Geschwitz T-8 : RB [segment A (E♭-A♭) in ww]
end 455-beg. 457	bns	Lulu P-8 : 2,1,2; P-7 : 2,1,2
456-458	Lulu, vib	Lulu P-8 : 3-8,(2),9
456-457	fl 2	Lulu P-9 : first hexachord
end 456-458	hn 1	Lulu P-7 : 1-8
475-478	perc	Fate motive's rhythm
480-482	fl 1, doubling Schön	BC I (B,F♯,F,C)
481	bns, doubled later by vc	BC I (B♭,E♭,E,A overlapped by E,A,B♭,E♭)
mid. 498-mid. 499	vn 2	BS I-6 : [1 in va], 2-4
end 498-beg. 500	hn 1	BS I-6 : 4-12,1

BAR	INSTRUMENT	MUSICAL MATERIAL
499, until beg. 3rd beat	va	BS I-6 : 5-8, [9 in hn], 10
mid. final beat 499-1st beat 500	vc	BS I-6 : 11,12,1
500-502	vn 1	Inverted contour of its counterpart, db (b.505); strict inversion occurs between the vocal line doublings : b.501-2 and b.506-7, respectively
500-501	vn 2 va	Inversion of vn 2, b.505-506 Transposition of va, end 2nd beat b.504-beg. b.505, followed by inversion of va, final beat b.505-1st beat b.507
end 499-1st beat 500	vc	Inversion of vn 1, end b.504-1st beat b.505
final beat 500-501	vc	Inversion of vn 1, final beat 505-506
502-mid. 504	va, vc	Chromatic convergence; vc breaks away to form t-st sequence into the counterpart-passage

Series A and B dyads reinforce the parallels mentioned above. Regarding Series A : Fourth-dyads I and II, and the semitone-dyad E-F occur between vn 1 and va for the first two beats of b.500; vc presents I melodically on the second and third beats. Dyad I occurs in the vocal line (b.499) and between va and vc (end 2nd beat-beg. 3rd beat). The missing semitone-dyad B-B♭ is in cl 1 (end b.499-500) and C-A follows in the vocal line.

Regarding Series B : Fourth-dyad III occurs between vc and db (end b.504), vn 1, va and vc (beg. b.505), and between vn 2 and db (end 2nd beat b.505); IV is presented by vns and vc (2nd beat b.505). The semitone-dyad B♭-A is in vns and va (mid. final beat b.504); E♭-E occurs between vocal line and db (end b.505). Dyad A♭-B is between vn 2 and db (beg. b.505), but the other minor third-dyad D-F is missing.

The strings of strophe two anticipate the octatonic scale of strophe three with their scale-like movement of the tone and semitone, e.g. vn 1 (final beat b.499-mid. b.501) and db (b.505-mid. b.506).

mid final beat 507-508	str	P.T. T-O : ① (vn 1, va vc), ② ③ (vns, vc), ④
2nd beat 508-beg. 509	tpts	P.T. T-6, whose ① is completed by pf; P.T. T-O with ④ in pf

BAR	INSTRUMENT	MUSICAL MATERIAL
509-beg. 511	ww	P.T. T-O : ③; TI-1 : ① (completed by vocal line), ②, ③ (completed by hp, added C♮), ④; TI-7 whose ④ (added B in enghn) is doubled by str
511-beg. 512	vn 2, va	Chromatic convergence
mid. final beat 511-end 1st beat 512	str	P.T. TI-1 : ①, ② (completed by hp and vocal line), incomplete ③ (added B♮, minus D), and ① of T-10
2nd beat 512-1st beat 513	tpts, trbn 1	P.T. R-4; R-10 with incomplete ④ in trbn 2 and pf, beg. b.513
513-515	ww	P.T. RI-3 : ①, ② and ③ are completed by trbn 2 (added notes G,D and C, respectively), and a complete ④ follows; RI-9 whose repeated ④ is doubled by str. The latter alternates ① of P.T. TI-9 with Painter Chord ③ of P-9/P-3/I-1/I-7 (completed by hp), until beg. b.516
end 517-522	hns	Mixture of mainly melodic Series A and B dyads

Regarding Series B : III between hn 2 and 3 (end b.517-beg. b.518); E-E♭ in hn 4 (1st half b.518) and hn 2 (mid. b.518-519 and b.521); B-A♭ in hn 4 (end 1st beat b.519-beg. b.520) and hn 1 (2nd beat b.521-522).
Regarding Series A : B♭-B in hn 4 (end b.518-519), hn 1 (from end 1st beat b.520) and between hn 1 and hn 4 (from 2nd beat b.520); A-C in hn 1 (b.519-beg. b.520), hn 3 and between hn 2 and 3 (beg. b.522); D♯-F♯ in hn 2 (b.519-beg. b.520); E-F in hn 2 (end 1st beat b.520-beg. b.521) and between hn 2 and 4 (mid. 2nd beat b.522).

523-mid. 525	ww (va doubles asax)	Painter Chords RI-11, with repeat of ③ - horns anticipated ① (end 2nd beat-beg. 3rd beat b.522) and double ww, beg. b.522; RI-O whose ③ has added D♮ in cl 3 and bn 3, followed by two pure repeats (except the chromatic link, A♮, in cl 2); RI-1 with repeat of ③
end 524-beg. 525	solo vn 1	Schigolch T-5 : RX
final beat 525-beg. 529	solo vn 1	Schigolch T-8 : RZ; three overlapping statements of BC I, underlining those in the vocal line

BAR	INSTRUMENT	MUSICAL MATERIAL
final beat 525-beg. 526	ww (va doubles asax)	Painter Chord ③ - repeat of P-1/P-7/I-5/1-11; Painter Chord ③ of P-0/P-6/I-4/I-10
end 526-beg. 528	ww (va doubles asax)	Painter Chord ③ of P-4/P-10/I-2/I-8, linked by added F♯ (cl 3) to Painter Chords RI-6; P-10 with incomplete ③ (added B♭, minus F) and repeat of ①, doubled by vn 2 and va
528, end 1st beat-beg. final beat	ww, str (except vn 1)	Painter Chord ① of P-3/I-3; Painter Chords RI-9, doubled by hns
end 2nd beat 529-beg. 2nd beat 531	str	Painter Chords R-1; R-8 which conclude with ③, ②, ③; R-2, doubled by brass
final beat 530-532	fl 1	BC I (E,A,B♭,E♭)
mid. final beat 531-beg. 533	str, doubled by brass	Painter Chords R-6 with repeat of ③; R-10 with repeat of ② and ①
mid. final beat 533-beg. 535	str, doubled by brass	Painter Chords R-7
end 532-533	asax	BS P-9 : 1-10 [11,12 in fls and vocal line or fls beg. b.534], imitating Lulu
533-535	fls	Lulu I-O : 1-6,9 with repetitive twisted prefix, followed by 2,1,2-6,9, which is doubled by cl 1. The latter's repeat of 2,1-4 is doubled by cl 2 (b.535) and extended by hns 3.4 and btuba, end b.535-536 (notes 5,6)
final beat 534-535	hns	Alwa P-3 : [1 in vn 2], 2-9 [10 in hns 3.4 and btuba; 11,12 in cls and va, b.536]
536-537	hns 3.4, hp	Isolation of pitches E♭,B♭,G♭
553-564	perc	Fate motive's rhythm underlining instrumental statements
558-563	Schön, doubled later by vc	Schön P-4
561-562	Lulu	Schön P-4 : 8-12

BAR	INSTRUMENT	MUSICAL MATERIAL
end 562-563	Schoolboy	Schön P-4 : 7-12.
558-mid. 561	db, vc	Overlapping rhythmic fate motive on a $\frac{6}{4}$, i.e. Alwa's P-4 opening, equivalent to that of Schön's I-9
558-3rd beat 561	hns	Rhythmic fate motive on tritone F-B, in canon with db and ww
mid. 561	vn 2, va, vc	e♭ $\frac{6}{3}$ opening of Alwa's P-10
561-563	vn 2	Schigolch T-2 : Z
end 1st beat 563-564	hns 1.2	Simultaneous chromatic tails (9,10,12) of Schön's I-11 and I-5, i.e. tritones
563-564	vn 1	Alwa P-7 : 1-8 [9 simultaneous in cls and hn 1, unordered 10-12 in Lulu's vocal line, end b.564-beg. b.566]
564	hns	Diminished triads on D and C
565	ww	Alwa P-10 : simultaneous 4-7 and 2,3,9,8 [notes 9,1 are in cls, end b.564]
565-566	vns	Alwa P-1 : 1-6 followed by simultaneous 5,4,6,7 and 3,2,9,8
end 1st beat 566-beg. 568	Lulu, doubled (optional) or continued later by pic, bns and lower str	Schön P-8 : 1-11
566-567	ww	Alwa P-4 : 1-6, followed by simultaneous 4-7 and 2,3,9,8
end 566-567	str	Alwa P-7 : 1-6, followed by simultaneous 5,4,6,7 and 3,2,9,8
2nd half 567	cls	Schoolboy T-2 : ②
568-576	hns	BS P-4 : 1-6, [7 in pf], 9,8, [10 in vn 1], 11,12,(7); P-10 : 1-6, [7 in pf], 9,* 8, [10 in vn 1], 11, 12,(7); P-4 : 1-6,(10); P-10 : 1-6, (10); P-4 : 1-6,(1)

* B♮ should be A♮. See Perle, "The Score of Lulu", p. 132.

BAR	INSTRUMENT	MUSICAL MATERIAL
end 568-574	vn 2, obs	Schön P-4 : 1-8,(2),10-12; P-10 : 1-8,(2),10-12; P-4 : 1-5,(8); P-10 : 1-5,(8), doubled by enghn
575-576	va, enghn	Schön P-6 : 1-3; P-4 : 1-3; P-1 : 1-3
569-574	vn 1	Alwa P-4 : 1-3,6,4,7-9, [10 in vn 2, 11 in pf], 12,(4); similarly for following Alwa P-10; P-4 : 1-4; P-11 : 1-4
575	vc	Alwa P-4 : 1-4, 1-3,1,2
567-beg. 577	pf, whose chords are doubled by ww and brass	Alternating transpositions of the sequence M3-st-M3-m3 (perhaps anticipated by cls, b.564 : m3-st-m3-st), stated melodically and harmonically, underline the relationship between Schön, Alwa and BS

The chords anticipate the start of Schön and Alwa's P-4 and P-10 in str, i.e. A$\frac{6}{4}$ -a$\frac{6}{4}$ (e.g. b.568-569) and E♭$\frac{6}{4}$ -e♭$\frac{6}{4}$ (e.g. b.570-571). The first three notes of the melodic figuration or chord constituents, anticipate the start (notes 1-3) of BS P-4 and P-10, respectively.

574-576	vocal lines	Outline the diminished triad on D
577-581	trbns 2,3 doubled by str, continued by tpts 2.3 and str btuba, doubled by str, continued by trbn 1	Rhythmic fate motive on ascending, harmonic minor thirds, initiated by a semi-tone dyad. Rhythmic fate motive on a variant of Schigolch's segment Z (prime), repeated a major seventh higher
mid. 582-586	tpts	Triads on the chromatic tail of Schön's P-2 (E♭$\frac{6}{3}$,E$\frac{6}{3}$,F$\frac{6}{3}$).
577-583	Alwa, later Schön	Alwa P-10 : 1-11 [12 in Lulu's vocal line]
578-579	Lulu	BS P-10 : 1-3, added B♮, [4 as a grace note in trbn 3 and vc], 5-7
579-584	Schoolboy	BS P-10 : 8-12 for his three repeats : "Sie ist unschuldig"
582-583	Lulu	BS P-10 : 1-7
581-end 2nd beat 583	solo vn 1	Sonata's second theme

BAR	INSTRUMENT	MUSICAL MATERIAL
584-beg. 585	vn 2 and va, va and vc	Fourth-dyad I of Series A or the opening dyad of Schön's P-8, associated with his demanding Sonata main theme
final beat 585-beg. 587	va,vc	Simultaneous chromatic tails of Schön's P-1 and P-6, starting with fourth-dyad II of Series A or notes 7 and 8 of his P-8
587-beg. 588	trbn 1, lower vc	Chromatic divergence on 9,10, 12 of Schön's P-11 and I-5 to meet on D, which is note 4 of his P-4
598, until 3rd beat	Alwa	Schoolboy TI-7 : ②, initiated by pf and str (Alwa is asking the Schoolboy to help carry Schön)
606	cls	BC II (E,A,B,C,F) and its transposed inversion (E♭,B♭, A♭,G,D). These statements were retrograded at the end of Schön's strophe two (b.416-417) and represented the Acrobat's P-4.* Here they represent Schön's persecution (1-5 and 6-10 of his I-9) and Geschwitz's segments B of T-7 and TI-0
beg. 607, after tied fifth-dyad-mid. 608	upper vn 1	Segments B and C of Geschwitz's TI-4, completed by vc (A♭), from end 2nd beat b.608 [segment A is sustained in str, final beat b.605-beg. b.607]. Lower vn 1 doubles at the fifth lower with segments B and unordered C of TI-9, until the common D♭, end b.607; segment C is completed by vn 2, end b.607 (G♭)-beg. b.608 (E♭)

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* See p. 118 above.

BAR	INSTRUMENT	MUSICAL MATERIAL
607, after tied fifth-dyad, until mid. 3rd beat	lower db	Segment C of Geschwitz's T-9 [segment A is sustained in str, final beat b.605-beg. b.607]. It is doubled a fifth higher by upper db, with segment C of T-4. An unordered B of T-9 occurs in va, end b.607-beg. b.609
end 3rd beat 608-609	vn 1	Chromatic tail (9,10,12) of Schön's P-8
609	hn 1, va	Chromatic tail of Schön's I-8, which is repeated by vc, final beat b.610-612
610-mid. 611	solo va	Chromatic tail of Schön's P-1, doubled by hn 2; Schön P-4 : 1-3; Alwa P-4 : 1-6
610, from end 2nd beat	fls	Chromatic tail of Schön's I-4
613-616	cl 1, doubled by fl 1	Lulu P-2 : [1 in va], 2-12, with twisted prefix belonging to I-6 (doubled by cl 2 and vn 2)
2nd beat 613-616	cl 2, doubled by fl 2	Lulu P-10 : [1 in vc simultaneous with 2 in hn 2], 3-6, 8-12 (10-12 are also doubled by Alwa)
end 613-616	bn 1, doubled by cl 3	Lulu P-0 : 1-9, (10, 11 in vocal line simultaneous with 11,12 in fl 1 and cl 1], with twisted prefix in va
	bn 2, doubled by bcl	Lulu P-8 : 1-6 [7 simultaneous in cl 3 and bn 1], 8,9 (in bn 2 only), [10-12 in cl 3 and bn 1], with augmented twisted prefix in vc
final beat 616-beg. 618	cl 2	Oscillation between notes 12 of Lulu's P-10 and P-2
final beat 616-617	bn 1	Oscillation between notes 12 and 6 of Lulu's P-8

BAR	INSTRUMENT	MUSICAL MATERIAL
mid. 658-661	upper ww	Schoolboy T-7 : harmonic first three pitches of ③ : ② of P.T. T-1; segment A of Geschwitz's T-5; ④ of P.T. T-8; oscillation between ③ of P.T. T-6 and ④ of P.T. T-8 (b.659); ② of P.T. T-4; ③ of P.T. T-6; P.T. TI-11 : ① , ② , ① ; diminished triad on F; ② of P.T. T-2/ TI-6; P.T. TI-11 : ③ , ① , ② , ① , ② , ③ , ④ , $e\flat^{5}_{3}$, ④ .
end 2nd beat 661-end 1st beat 662	tpts, doubled initially by vns and then by va+vc	Oscillation between d^{6}_{4} and C^{5}_{3} , ending on $g\sharp^{5}_{3}$.
662-663	cls, doubled by fls, obs and vns hns, doubled by va+vc	$e\flat^{5}_{3}$,G^{5}_{3},a^{5}_{3},G^{5}_{3},a^{3}_{3},$B\flat^{5}_{3}$,F^{5}_{3},B^{6}_{4},e^{6}_{4} $a\flat^{5}_{3}$,$G\flat^{5}_{3}$,$a\flat^{5}_{3}$,$B\flat^{5}_{3}$,$C\flat^{5}_{3}$, e^{5}_{3} ,F^{5}_{3}
end 3rd beat 667-669	vn 1	Two statements of BS I-6, followed by notes 1-9, which va completes, b.669-beg. b.670
end 667-669	vn 2	BS I-6 : 1-12, 1-9, continued in upper vc, mid. 1st beat b.669-end 3rd beat b.670 : 9-12, 1-12, 1-8,10,1
668	va	BS I-6 : 1-12, 1-3, continued in lower vc, b.669 : 4-12, 1-3
668-beg. 669	upper vc	BS I-6 : 1-9 (doubled and completed by lower vc), 1-4
669-end 3rd beat 670	upper db	BS I-6 : 1-9 (doubled and completed by lower db), 1-12, 1-4,11
final beat 669-beg. 670	lower db	BS I-6 : 1-4
mid. 675-678	cls	BS P-6 : 12 (or 11 of BS P-4), 6,5,6,8,10,4-6,5,6,8,10,11, overlapped by the same pattern for BS P-8, except note 11 instead of note 4
mid. 675-676	bns	Schön P-6 : 11 (or 4 of Schön P-4),12,3,4,10-12,3,4
end 676-beg. 3rd beat 678	bn 1, doubled by bcl	Schön P-8 : same pattern as previous entry

BAR	INSTRUMENT	MUSICAL MATERIAL
mid. 675-beg. final beat 678	asax	Alwa P-6 : 5 (or 12 of Alwa P-4),6,8,10-12,4,(1),*6,8, 10-12, overlapped by the same pattern for Alwa P-8, except note 6 instead of 11 (3rd ♪ b.677) and note 9(G)* instead of 1
mid. 675, after the repeated C♮ -beg. 679	obs	Schoolboy T-4 : 8-11,1,3-5,8-11, 1,3,4, followed by the same pattern for Schoolboy T-6
mid. 675, after the repeated A♭ -beg. 679	fls	Geschwitz XI-7 : 12,3-5**, 6,7, 10-12,3-7,10, followed by the same pattern for Geschwitz XI-9
mid. 675, after the repeated B♮ -mid. final beat 676	dbn	Acrobat P-6 : 8-12,3,6-12,3
end 676-2nd beat 678	dbn, doubled mostly by bn 2	Acrobat P-8 : same pattern as previous entry

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* Retention of BC I's extracted pitch (also in vocal score and Lulu Suite) is reminiscent of the A♮ in the Schoolboy's 8-note ostinato (ob, end 2nd beat b.673) - see n. 319 above.

** Remembering that note 5 is the upper note, and note 9 the lower note of the initial perfect fifth segment.

BAR	INSTRUMENT	MUSICAL MATERIAL
Chapter III		
1001-end 3rd beat 1002	hns	Cadential element of Lulu's P-2, overlapped by that of P-11
1001-2nd beat 1004	hp, doubled by trbns+vc ⟶ tpts 2.3 +ob 1 ⟶ bns	Arpeggiated triads : f♯, C(twice), F(twice), A
end 3rd beat 1007-mid. 1009	upper vn 1, fl 1, ob 1 and cl 1	BS I-8 : 12,1-11
1008-1013	pf	Triads
1009-1010	hns 1.2	Lulu P-9 : 5-8
1010 until beg. 3rd beat	asax doubled by va	BC I (F,B♭,B,E), which is transposed a major third higher in b.1011 (asax, doubled by enghn and later by va), and overlapped by E♭,A♭,A,D
end 2nd beat 1011-1012	enghn	Lulu I-11 : 1-8
1011-1013	Lulu, doubled by obs, cls and vns	Lulu I-11 : 1,2 repeat, I-10 : 3, I-11 : 4-8
end 1011-beg. 1013	asax	Lulu I-11 : 1,2 repeat, I-10 : 3-8
1013-1015	va ⟶ vn 2 ⟶ vn 1	Three statements of BC I (D,G, A♭,D♭) to conclude on BC V.
1015	ww, later pf, doubled by vns	Incomplete BC IV
1016-1020	vocal lines	Isolation and doubling of the top line of the accompaniment's Picture Tropes, or the first four pitches of Lulu's Series. Similarly for b.1022-1029
mid. 1016-mid. 1017	tpt 3+trbns	P.T. TI-1, whose ① occurs only in tpt 3+trbns 1.2
1017	vn 1+va+vc	P.T. T-4
1017-1020	hns	P.T. T-9 (twice), T-3 with incomplete ②, TI-3 and ① of TI-8
end 1017-1018	va+vc, later combined with vn 1	P.T. T-10 and T-4

BAR	INSTRUMENT	MUSICAL MATERIAL
end 1018-1020	vns+va	P.T. TI-2 and TI-8
end 1019-1020	pf	P.T. TI-9
1020-1021	vc+db, doubled by bns+dbn	P.T. TI-8, whose incomplete ④ (B♭-F) is doubled by pf, and sustained by str to accompany the following spoken dialogue; it acts as a pedal point in db until b.1025, where bns+dbn and bcl (B♭) take over until b.1029
1022-beg. 1026	str	The chromatic descent unfolds ① of the Picture Trope's descending, successive TI-forms, from ① of P.T. TI-3 to ① of TI-2 (beg. b.1023), and from ① of TI-9 to ① of TI-7. This is mirrored by a chromatic ascent of T-forms until beg. b.1030, i.e. ① of P.T. T-8 - ① of T-8 (beg. b.1027) followed by ① of T-1 - ① of T-3

The above therefore reflects the text it accompanies, viz. Alwa's comparison of Lulu with her portrait, as opposed to Lulu's recognition of the differences.

1022-1026	ww	P.T. TI-3, TI-9 (④ in fls 1.2 +cl 3), TI-4 (① in cls 1.2+ bcl, end b.1023, ③ completed by db's B♭, and an incomplete ④), and TI-10 with an incomplete ④ (or ④ of T-9)
1026-1st beat 1030	brass	P.T. T-7 with incomplete ①, T-1 overlapped by T-6 (incomplete ④), and T-0
1030-1034	vc, db	Triads on BC I (B^{5}_{3} , E^{5}_{3} , F^{5}_{3} , $B♭^{5}_{3}$).
1032	ob, tpts, hp, Alwa	P.T. TI-3
1035-1037	pf chords	Sequence of Alwa's first hexachords (P-10, P-3, P-1), which corresponds with the Prologue, b.57-59
1132-1133	cls 2.3, doubled midway by vn 1 and later by Alwa	BS P-6 : 8-10,1-12
	fls, vn 2	BS P-6 : 11,12,1-4, overlapped by 6-12 of P-2

BAR	INSTRUMENT	MUSICAL MATERIAL
mid. 1134-beg 1135	pf	BC II (E,A,B,C,F), twice
1134	ww, Alwa, str	Simultaneous BS P-8, P-4, P-1 : 1-4, i.e. a sequence of minor triads (root)
1135-1136	ww, hns, pf, str	Simultaneous BS P-8, P-3, P-0, P-7 : 6-12
1135-1136	hp	Melodic BC III
1138	db ⟶ rest of vc ⟶ rest of va ⟶ vn 2	Alwa P-6 : trichordal arrangement of the first hexachord, followed by 7,8,10(va), 9,12, 8 (vn 2), with 11 (A♮) in voice (end b.1038-1039), doubled by vn 2
first half 1139	pf, doubled by va ⟶ vn 2	Alwa I-2 : first hexachord
1139-beg. 1140	ww, vn 1	Simultaneous BS P-0, P-6, P-2, P-8, P-4 : 6-9
end 1139-1140	asax	BC II variant (E♭,A,B,C,F) - initial tritone instead of perfect fourth
1140, end 1st beat -beg. final beat	fls, vn 1	BC I (C,F,F♯,B)
first half 1141	fls, cls, tpts+ asax, str	P.T. TI-4
1142-1143	Alwa	BC I
1142	tpts	P.T. TI-4, with displaced ①, ② (completed by G♮ in bcl and bns), ③, and P.T. TI-10, whose ③ and ④ are completed by trbn 1
end 1st beat 1143-1144	trbns, vc+db	Displaced P.T. TI-3 (perhaps related to Alwa's state of mind), with aligned repeat of ③ and ④
1143-1144	hns	Simultaneous Lulu I-0 (1-8) and I-9 (2-8), forming a sequence of minor thirds, which are perpetuated in the oscillation (b.1144-1147, cls, pf) and as melodic BC III in asax, doubled later by vn 2 and va (b.1145-beg. b.1148) and bns, doubled initially by

		dbn, completely by hp, and later by bcl (b.1146-mid. b.1148).
final beat 1146-1148	pf	Melodic BC III, i.e. the pitches of the oscillation, which hns sustain harmonically until 2nd beat b.1149
1148-beg. 1149	cls, doubled by hp ⟶ str	Melodic BC III evolving into BC I (D,G,A♭,D♭), whose conclusive, melodic BC V is stated harmonically in fls 1.2 and vns (end 1st beat b.1149)
1144	vib	BC V
end 1144-1145	timp, hp	BC I (G,C,D♭,G♭)
1147-1148	tpts, trbns, doubled mostly by btuba	BC I (E,A,B♭,E♭)
1148 from second ♪	asax, doubled by vns	BC I (A,D,E♭,A♭), overlapped by BC I (E,A,B♭,E♭) in obs and lower str
1149-1150	tpts ⟶ trbns+ btuba	Descending BC I (E,B,B♭,F). In terms of Trope III, this would be ② of T-2, as it follows ① in cls and str, but segment ③ is the only diminished seventh chord not sounded in the final bars of Act II - the closest is the diminished triad A-C-E♭ in fls and str, 3rd beat b.1149

———oOo———

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BASIC SERIES (BS)

symbols
non-corresponding
hexachordal
invariancy between P-0 & P-11

Major triad
minor triad
Major triad
minor triad

1 2 3 4 5 6 7 8 9 10 11 12

P-0
P-1
P-2
P-3
P-4
P-5
P-6
P-7
P-8
P-9
P-10
P-11

non-corresponding hexachordal invariancy

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TROPE III

T-0
T-1
T-2
T-3
T-4
T-5
T-6
T-7
T-8
T-9
T-10
T-11

① ② ③

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TROPE I

86/123c

non-corresponding tetrachordal invariancy

T-0
1 2 3
T-1
T-2
T-3
T-4
T-5
T-6
T-7
T-8
T-9
T-10
T-11

08 SEP 1986

INVERSION OF BS

Symbol = corresponding hexachordal invariancy between P & I

86/123d

minor triad
Major triad
minor triad
Major triad
1 2 3 4 5 6 7 8 9 10 11 12

I-0
I-1
I-2
I-3
I-4
I-5
I-6
I-7
I-8
I-9
I-10
I-11

non-corresponding hexachordal invariancy

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PICTURE TROPE

derived from the BS

giving rise to Lulu's series

86/123 e

T-0

T-1

T-2

T-3

T-4

T-5

T-6

T-7

T-8

T-9

T-10

T-11

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PICTURE TROPE

86/123f

TI-0

TI-1

TI-2

TI-3

TI-4

TI-5

TI-6

TI-7

TI-8

TI-9

TI-10

TI-11

08 SEP 1986

PAINTER'S DYADS AND CHORDS

86/123g

P-0
P-1
P-2
P-3
P-4
P-5
P-6
P-7
P-8
P-9
P-10
P-11

① ② ③

chord ③ contains identical pitches

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08 SEP 1986

PAINTER'S DYADS AND CHORDS from Inversion of BS

86/123h

I-0
I-1
I-2
I-3
I-4
I-5
I-6
I-7
I-8
I-9
I-10
I-11

① ② ③

chord ③ contains identical pitches

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