THE PIANO IN ALBAN BERG'S OPERA, LULU

DOCUMENT

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By

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* * * * *

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Advisor
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To My Father
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# TABLE OF CONTENTS

| DEDICATION                                      | ii  |
| ACKNOWLEDGMENTS                                 | iii |
| VITA                                            | iv  |
| LIST OF EXAMPLES                                | vii |
| INTRODUCTION                                    | 1   |

**SECTION**

| **A.** BERG'S LIFE, WITH A FOCUS ON PIANO IN HIS CREATIVITY |
| **B.** FORM                                                   |
| **C.** TECHNICAL ASPECTS OF BERG'S WRITING IN LULU            |
| 1. Orchestration                                             |
| 2. Characteristic Vocabulary of Berg's Compositions.         |
| **D.** AUTOBIOGRAPHICAL COMPONENTS OF LULU                    |
| **E.** PIANO'S USE IN DRAMATIC UNIFICATION                   |
| 1. Sectional divisions                                       |
| 2. The Acrobat's Black-key, White-key Chords                 |
| 3. The Signal Motive                                          |
| **F.** MINOR DRAMATIC USES OF THE PIANO                      |
| **G.** CONCLUSION                                             |

PAGE

2  12  21  21  26  29  35  35  54  77  82  83
**LIST OF EXAMPLES**

<table>
<thead>
<tr>
<th>EXAMPLES</th>
<th>PAGE</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Alban Berg, <em>Lulu</em>, Act II, mm. 652-625 of the piano, timpani, and bass drum parts</td>
<td>22</td>
</tr>
<tr>
<td>2. Alban Berg, <em>Lulu</em>, Act II, mm. 49-50 of the piano and drum parts</td>
<td>22</td>
</tr>
<tr>
<td>3. Alban Berg, <em>Lulu</em>, Act II, mm. 644-645 of the piano, triangle, and vibraphone parts</td>
<td>23</td>
</tr>
<tr>
<td>5. Alban Berg, <em>Lulu</em>, Act II, m. 687, full score</td>
<td>33</td>
</tr>
<tr>
<td>6. Basic Cell IV</td>
<td>35</td>
</tr>
<tr>
<td>7. Fate rhythm</td>
<td>37</td>
</tr>
<tr>
<td>9. The Acrobat’s chords</td>
<td>55</td>
</tr>
<tr>
<td>10. The Basic Series at P-0</td>
<td>55</td>
</tr>
<tr>
<td>11. Alwa’s Series at P-4</td>
<td>55</td>
</tr>
<tr>
<td>12. Dr. Schön’s Series at I-9</td>
<td>56</td>
</tr>
<tr>
<td>13. Countess Geschwitz’s Trope at P-7</td>
<td>56</td>
</tr>
<tr>
<td>14. The relationship between the Acrobat’s Chords and the Basic Series at P-0, Alwa’s Series at P-4, Dr. Schön’s Series at I-9, and Countess Geschwitz’s Trope at P-7</td>
<td>57</td>
</tr>
</tbody>
</table>
15. The relationship between Dr. Schönh’s Series at I-9, Alva’s Series at P-4, Countess Geschwitz’s Trope at P-7, and the Acrobat’s chords ........................................... 58
16. Countess Geschwitz’s Trope at P-7 and I-9 .... 61
17. Alban Berg, Lulu, Act II, mm. 722-726 ........ 62
18. Alban Berg, Lulu, Act III, mm. 537-539 ....... 63
19. Alban Berg, Lulu, Act II, mm. 827-833 ......... 65
20. The Acrobat’s Series at P-0 ..................... 67
21. Alban Berg, Lulu, Act II, mm. 100-104 ......... 67
22. Alban Berg, Lulu, Act II, mm. 139-143 ......... 68
23. The Acrobat’s Series at P-11 .................... 68
24. The Basic Series at I-10 ......................... 70
25. The Basic Cell II .................................. 70
26. Alban Berg, Lulu, Act III, mm. 1321-1326 ...... 71
27. Alban Berg, Lulu, Act I, m. 9 .................... 72
28. The Basic Series at I-9 ............................ 73
29. Alva’s Series at P-9 ............................... 73
30. Alban Berg, Lulu, Prologue, mm. 13-17 ........ 74
31. The Signal Motive ................................. 77
32. Alban Berg, Lulu, Act I, mm. 956-960 ......... 81

viii
LIST OF NOMENCLATURE

P . . . . The prime form of a 12-tone series.

P-0 . . . The prime form of a 12-tone series at original pitch.

P-4 . . . The prime form of a 12-tone series transposed up four half-steps.

I-10 . . The inverted form of a 12-tone series transposed up ten half-steps.
INTRODUCTION

As a pianist, I had always thought of the piano in terms of its being a solo, chamber or accompanying instrument. When I took my general exams, one of the questions, briefly, was to discuss the piano as an orchestral instrument. This was a surprising question to me, because it was a use of the piano to which I had never given much thought. The question opened up a whole new area of interest for me. About eight months after my generals, a faculty member at Antioch College, Yellow Springs, Ohio, invited me to a viewing of a film of the opera Lulu that he was showing his class. During the viewing, I was not only overwhelmed by the power of this work, but was struck by what, on first hearing, seemed to be a fairly consistent use of the piano’s timbre at important dramatic moments. This led to the topic of this paper and the discovery of some interesting uses of the piano in the opera and correlations of the piano to it.

In this paper various aspects of the piano and Alban Berg’s opera, Lulu, will be examined. The role that the piano played in Berg’s life as a musician and the way that this is reflected in the opera will be discussed. His traditional use of the piano to reinforce other instruments in
his orchestration will be explored. Technical aspects of his writing in Lulu will be investigated: how his compositional techniques in Lulu compare to those in his other works, and the technical demands made on the pianist in the opera. Piano will be shown to have an important role in dramatic unification through its use at cadence points, particularly in the Prologue and Act III. The black-key, white-key configuration of the piano will be seen as having a major impact on the tone row structures and on the harmonic structure of the whole opera. Of lesser importance, its use as a timbral element for the signal motive will be explored. Other instances of dramatic unity through the use of the piano will be explored. The largest portion of the paper will discuss the aspects of the piano as a dramatic unifier.

A. BERG'S LIFE, WITH A FOCUS ON PIANO IN HIS CREATIVITY

Alban Maria Johannes Berg was born in Vienna February 9, 1885 into a family which eventually consisted of three sons and one daughter. The Bergs lived in comfortable circumstances because Frau Berg owned eight blocks of Vienna and a small estate in southern Austria. Alban spent many summers at the estate because he found it conducive to work.
The piano was important in the Berg household. Smaragda, Alban's sister, was a competent pianist with particular interest in contemporary music, especially Debussy and Ravel. Mosco Carner, who wrote the book, Alban Berg: The Man and The Work, states that it is very likely that it was through her that Berg made his first acquaintance with the French impressionists. At age 15, Berg's first compositions were songs. The reason for this was probably because his brother was a singer and Smaragda could accompany him. Alban's maternal grandfather could not read music, but played the piano by ear. Berg learned how to play the piano and often played duets with Smaragda.¹

At age nineteen, Berg began a professional music education with Schoenberg. This was in October, 1904, a time when Schoenberg was relatively unknown. Schoenberg had only recently completed Pelleas und Melisande and his first large work, Verklärte Nacht, though composed in 1899, had only just had its first performance. Thus, Berg was to share with Schoenberg creative experiences that led him through a series of radical stylistic changes, from the First String Quartet of 1904-5 to the first expressionist works, above all the Five Orchestral Pieces and Erwartung both composed in 1909.² Berg was a pupil of Schoenberg from 1904 to 1910.³
Berg wrote several pieces during his studies with Schoenberg and performed in one of the chamber works as a pianist. One of his earliest pieces is the Seven Early Songs (1905-8). These are still in the tradition of the Romantic German lied and show influences ranging from Schumann to Schoenberg. In the summer of 1907, Berg was writing the first piece to which he gave an opus number, his Sonata for solo piano, Opus 1. He was also partly repeating counterpoint studies through a fugue with two themes for string quintet and piano accompaniment. Berg played the piano when the quintet was performed in a concert given by Schoenberg's pupils in November 1907. Also, about this time, Berg wrote Twelve Variations and Finale on an Original Theme for piano (1907-8) and a great number of songs. In 1909-10, Berg wrote Four Songs, Op. 2. The fruit of his studies with Schoenberg was the String Quartet, Op. 3. As one can see, all of the pieces Berg wrote while studying with Schoenberg involved the piano, except for the String Quartet, Op. 3.

In the months following his marriage to Helene Nahowski, May 1911, he worked for Universal Edition, preparing the piano reduction of Der ferne Klang by Franz Schreker (a composer and director of the Vienna Philharmonic Chorus) and of Gurrelieder by Schoenberg. He also arranged vocal scores of the Litanei and Entrückung in Schoenberg's F sharp
minor Quartet, op. 10 and made a piano arrangement for four hands of Schoenberg's Chamber Symphony, of which the manuscript is lost.  

Emil Hertzka, director of Universal Edition 1909-32, who had commissioned Berg to make the vocal score of the opera Der ferne Klang, criticised Berg's score as being too difficult to play. It appears that Schreker felt similarly, but there seemed to be some conflict of opinion about this, because Schreker also wrote Berg, telling him that Bruno Walter felt the vocal score was excellent. Nonetheless, it must have been somewhat difficult. There seems to have been an ongoing discussion with Schoenberg and Schreker maintaining on one side that the piano reduction of a vocal or orchestral work should be easy to play, whereas Berg maintained on the other side that it should not merely serve as a substitute for the original version, but should function in its own right, as in a song with piano accompaniment. Carner feels that the opinions of Schreker, Hertzka and Schoenberg of the difficulty are verified to a certain extent by some of the accompaniments of Berg's Seven Early Songs. Perhaps we will never know for sure, since the present edition of Berg's vocal score of Der ferne Klang also bears the name Ferdinand Rebay who was asked to simplify Berg's piano style.
Schoenberg also thought Berg’s piano arrangement of his Chamber Symphony was too difficult. Berg countered by saying that both Webern and Edward Steuermann (1892–1964), a pianist in the Schoenberg circle who also made arrangements of some of Schoenberg’s orchestral works, said Berg had done "something good, that is, something that is relatively easy to play and that sounds [good]." 9

In the period before World War I, Berg was fairly active as a composer, writing several pieces. In 1912, he wrote his Op. 4, Fünf Orchesterlieder nach Ansichtskarten-tex ten von Peter Altenberg. Carner points out that in the fourth song, an especially illustrative touch at the words "Hier tropft Schnee leise in Wasserlachen" is found in the piano’s "depicting the gentle drops of snow, sempre ppp." 10

In the spring of 1913, he wrote Four Pieces for Clarinet and Piano, Op. 5. In May, 1914, Berg saw the Vienna premiere of Büchner’s play, Woyzeck, written about 1836 11 and immediately decided to set it to music. 12 His musical activities came to a halt when Berg was inducted into the Austrian army.

Even though he was in the army, he began work on Wozzeck in the summer of 1917. By the autumn of 1921 the short score of Wozzeck was completed and the scoring was completed the following spring. In his attempts to get the opera performed, Berg supervised a pupil, F. H. Klein, in the
making of a piano score of *Wozzeck*. Berg and Steuermann then took this score to Frankfurt and Darmstadt which Steuermann played for theatre Intendanten to no avail. Berg did not play it because he felt he was not a good enough pianist to put it in its best light.\textsuperscript{13} *Wozzeck* was finally adopted by the Berlin Staatsoper and premiered on Dec. 14, 1925, amid great controversy.\textsuperscript{14} This production established Alban Berg as one of the outstanding figures of contemporary music, which remains to this day.\textsuperscript{15}

During the time between his private publication of the vocal score of *Wozzeck* and the premiere of the opera, Berg completed his three-movement Chamber Concerto for piano, violin, and 13 wind instruments.\textsuperscript{16} The Thema scherzoso con Variazioni is for piano and wind ensemble, the Adagio for violin and wind ensemble, and the Rondo ritmico con Introduzione is for piano, violin, and wind ensemble.\textsuperscript{17} Despite the fact that the Adagio is scored for violin and wind ensemble, the piano does mark an important formal point in the second movement. The overall structure of this movement is an ABA form, the whole of which is then repeated in retrograde.\textsuperscript{18} The point at which the composition turns back on itself is marked by twelve repeated lowest C-sharps on the piano "striking midnight,"\textsuperscript{19} ppp, with pedal.
Berg wrote two more compositions before beginning Lulu. In 1925 he tried, for the first time, strict 12-tone serial composition. This was done for a new setting of the poem by Storm, Schliesse mir die Augen beide for voice and piano, which he had previously set in 1907. Shortly after this, 1926, he completed the Lyric Suite for string quartet. After completing the Lyric Suite, Berg turned his attentions back to opera. By September 1928, Berg had already completed 300 bars of Lulu. As a basis for the libretto, Berg adapted two Wedekind plays, Erdgeist and Die Büchse der Pandora. Even after he had begun work on composing Lulu, Berg continued to struggle with the transformation of Wedekind's plays into the opera. This was a work he was "fated to write." It had been "foreshadowed in the literary interests, social concepts and character-forming experiences of his adolescence and youth." His sister, Smaragda, was a lesbian, which must have had some effect on Alban. As early as a letter he had written to his future wife's father refuting the father's objections to his daughter marrying Berg, he had shown a remarkably liberal attitude to homosexuality. In a previous letter to Helene, he defended prostitution against the hypocritical morals of a bourgeois society. He may have been influenced by his much adored Karl Kraus, a polemical satirist who founded a periodical Die Fackel (The Torch). Carner feels that Berg's
compassion for the underprivileged and social outcast is one of the main sources of inspiration for his compositions. This compassion is seen clearly in his two operas. Carner also feels that Berg had an essentially tragic, pessimistic view of life that might be attributed to his asthma. Carner feels it is no accident that both of Berg's operas end with violent death. Berg's view of life may also have been influenced by his idol, Mahler, who had a compassion for suffering man.

His work on Lulu was briefly interrupted in the spring of 1929 when Ruzena Herlinger, a Viennese singer of Czech origin, commissioned Berg to write an aria with orchestral accompaniment for her. He had met her in March 1928 at a private concert in Paris in which she sang his Four Songs, Op. 2, and Marie's Cradle Song from Wozzeck, with Berg at the piano.

In March 1933, the dismissal of Jewish musicians from civic posts began. Schoenberg was let go from the Prussian Academy of Arts in Berlin. After the Berlin Reichstag fire in spring of 1933, not a note of Berg's was heard in Germany, although he was not a Jew. Then, in Austria, he also was seldom performed. Berg wrote that he was so depressed by antisemitism that he could hardly work.
The spring of 1934 was significant for Berg. A short score of *Lulu* had been completed.\textsuperscript{34} Also, the Nazi drive against "decadent modern art" and "cultural bolshevism"\textsuperscript{35} was curtailing the success of *Wozzeck*.\textsuperscript{36}

In January 1935, the American violinist Louis Krasner asked Berg to write a violin concerto for him. When Alma Gropius' (widow of Gustav Mahler) 18 year old daughter, Manon Gropius, died on April 22, Berg decided to interrupt his work on the instrumentation of *Lulu* in order to compose the concerto as a memorial to her. He completed it by August 11 - a very short time for Berg.

In mid-August of the same year, an insect sting caused a painful abscess on Berg's back. The infection persisted despite treatment. Although he was in pain most of the time, he continued to work on the score of *Lulu*. A few weeks before his death, he wrote a letter to Schoenberg, speaking of his profound depression. Financially, things were not well. Because performances of *Wozzeck* were being curtailed by the Nazis, he could not maintain his previous standard of living. His health was not good because of his boils from the insect sting. His morale was low because he was treated as not being indigenous to his fatherland and therefore felt completely homeless. He summarized these troubles by saying all these miseries were heightened because "they cannot happen without friction and profound
human disappointments. On December 17, he was admitted to a hospital, and died on December 24, 1935.

From his biography, several important points can be made about Berg and the piano. First, early influences came to him through the piano – his sister’s acquainting him with the French impressionists through the piano, his uncle’s playing the piano, Alban’s playing duets with Smaragda, and his first musical writings being for his brother to sing with Smaragda accompanying him. Secondly, although Alban did not consider himself a performer, the piano was the instrument that he could and sometimes did perform on. Thirdly, of his relatively small oeuvre, the piano figures prominently in several works and somewhat importantly in more than half of his compositions.

Douglas Jarman’s *Music of Alban Berg* includes a catalogue of Berg’s works. In the collection of unpublished works are four categories. Three of these are genres involving the piano – early songs, choruses and canons, and works for piano. Included in the works for piano category are miscellaneous pieces such as scherzi, variations, improvisations, and sketches and drafts of five piano sonatas. Of the 23 published pieces listed in the Groves’ article, 15 of them use the piano, including *Wozzeck* in which the piano plays an important dramatic role in Act III, scene 3. Since most of these are songs or chamber music, the piano is
fairly prominent. Two are for solo piano - the Sonata Op. 1 and Variations on an Original Theme, 1908. However, these are the only pieces he wrote for a solo instrument. His Op. 1 is still performed fairly often today, proving that he not only wrote for the instrument, but that he wrote well for it.

B. FORM

For Berg, form was very important. Traditional forms are often "subjected to radical modification." In the Sonata, Op. 1 for solo piano, he used classic first movement form for its one movement: exposition, expanded development, varied recapitulation and coda. In the Op. 3 Quartet, the first movement uses the same thematic plan and three-section division of traditional sonata form. The second movement fuses sonata and rondo forms that does not produce a traditional sonata-rondo form, but a movement that can be analysed as either a "pure" sonata or a "pure" rondo. The Altenberg Lieder uses the arch-scheme. The Four Pieces for Clarinet and Piano, Op. 5 show traces of the four movement sonata, only compressed. The outer movements correspond to the sonata allegro and finale of the Classical sonata, the second to the adagio, and the third to the scherzo. In Three Orchestral Pieces, Op. 6, in the dance and march movements, Berg discovered the role that
traditional forms would perform for him in coherent large-scale structure. In *Wozzeck* he uses a cyclical structure for each act: Act I - Five Character Pieces; Act II - Symphony in Five Movements; Act III - Six Inventions. In the Chamber Concerto, the first movement contains five variations that can be construed as parts of a sonata-form movement. The second movement is a large ABA design with the second 120 bars being a retrograde inversion of the first 120. The third movement is a rondo. Each movement of the Lyric Suite uses a self-contained formal structure. The first movement is a sonata form sans the traditional development, the second is a rondo in ABACABA form, the third is a scherzo and trio, and the fifth is also a scherzo and trio with the trio appearing twice to produce an ABABA form. The form of *Der Wein* is a combination of sonata-allegro and ternary. The Violin Concerto has four movements grouped in two pairs with strict formal proportions. The opening Andante with introduction, principal subject, subordinate subject, concluding subject and codetta, and the scherzo which follows it, have classical symmetry and balance of phrase structure. The only pause comes between the second and third movements. In the second pair of movements, the fast and slow tempos are reversed. The Allegro is freely written in the style of a cadenza and the concluding Adagio is based on the Bach chorale *Es ist genug.* With all of
the above, one can only conclude that formal patterns associated with tonal music, were of great importance to Berg, and that he sometimes radically modified them.

Therefore, before delving into the main topic of the piano and Lulu, it is necessary to have a brief understanding of the overall form of the opera. George Perle’s The Operas of Alban Berg, Volume Two/Lulu, University of California Press, 1985, and Douglas Jarman’s The Music of ALBAN BERG, University of California Press, 1979, thoroughly analyze the form and serial composition of Lulu. Anyone seeking details about these (and other aspects) of Lulu should refer to these books.

The whole opera consists of a Prologue and three acts. The major forms for each movement are the following: Act I - Sonata-Allegro; Act II - Rondo; and Act III - Theme and Variations. Although a large form dominates each act, the subdivisions of that form are distributed throughout that act and are separated by less formal sectional units. An example of this separation of the subdivisions of the form can be seen in Act II, where the Exposition of the Rondo is separated from the Middle Division by another 664-measure section formally independent of the Rondo.54

Each form is correlated to the dramatic elements of each act. At this point, it would be best for the reader to study the synopsis of the libretto in the appendix. The
Sonata-Allegro of Act I is associated with Dr. Schön’s attempts and ultimate failure to free himself of Lulu. This shapes the basis of the main dramatic action. The dramatic similarities of scenes 2 and 3 of Act I are underscored by the elements of Sonata-Allegro form. In Act I, scene 2, the exposition and first reprise, Dr. Schön, fearing scandal could ruin his career, asks Lulu to stop visiting him and says he wants it to end so he can marry a respectable young lady. In an attempt to free himself, he tells the Painter of his, Schön’s, and Lulu’s association. Instead of stopping the affair, the Painter kills himself. The coda of the reprise is interrupted as Schön tells the Painter of Lulu’s past and is resumed at the end of the scene, where it forms the orchestral interlude between scenes 2 and 3. In Act I, scene 3, Schön visits Lulu in her dressing room and again demands that she stop seeing him. An argument follows in which Lulu mocks his attempts to appear respectable, jeers at his fiancée’s innocence, and threatens to leave for Africa with one of her suitors. Faced with her taunts and the prospect of being separated from her, he realizes his inability to free himself of Lulu and breaks down in tears. This argument is the development section. The recapitulation begins as Schon breaks down and admits defeat. Berg continues this correlation between drama and form in Act II. The Rondo of Act II represents Alwa’s overwhelming
attachment to Lulu. Each section of the Rondo is associated with Alwa's declaration of love.\textsuperscript{56} In Act III, a Theme and Variations represents the lowest point of Lulu's life, when she is reduced to a streetwalker.\textsuperscript{57} The variations do not appear consistently with any set of characters in the third act and are interspersed with many reprises of other material from the previous acts. The variation theme is meant to be associated with and symbolic of Lulu's decline into prostitution.\textsuperscript{58} It first appears in Act III, scene 1, mm. 103-18.\textsuperscript{59} During these measures, the Marquis is talking to Lulu at her party, and telling her that she can repay him money she owes him by employing her somewhere in a brothel. This is the first time in the opera that Lulu's possible career as a prostitute is mentioned. The next time the theme appears, is in the interlude between scenes 1 and 2.\textsuperscript{60} This is the time during which Lulu escapes to London where she will ply her trade as a prostitute. The theme recurs at the beginning of scene 2, mm. 737-52,\textsuperscript{61} when Alwa and Schigolch are discussing Lulu's debut as a prostitute. The theme makes its final appearance as the theme, rather than a variation, in scene 2, mm. 826-42.\textsuperscript{62} Lulu has just disappeared into the bedroom with her first customer.

Another aspect of form is that, as a whole, the opera consists of only two parts, each consisting of one and a half acts. The film, which appears in the middle of the
second Act, is the dividing point. The first half is Lulu's ascent, the second her decline. The true "finales" of the work occur at the end of each half, rather than the conclusion of each act.63

At a more immediate level, Lulu uses the design of the older classical "number" opera, each using self-contained smaller forms. In the score one finds many titles, put there by Berg, such as Recitativ, Arietta, Duett, Arioso, Interludium, and so on.

Lulu is amazingly tight in its structure. Berg doubles the roles of Lulu's victims with those of her clients. The performer for her first victim, the Medical Specialist, doubles her first client, the Professor. Similarly, the performer of her second victim, the Painter, doubles that of her second client, the Negro, and Dr. Schön's that of Jack the Ripper. This is very important to the dramatic structure. Other doublings are only for convenience and economy. These involve the following triple roles: 1. the Wardrobe Mistress, Schoolboy and Groom; 2. the Prince, Manservant and Marquis; and 3. the Medical Specialist, Banker and Professor.64 Berg points all of these out by musical means: leitmotifs, serial procedures, vocal range and style, and formal recapitulations. By doing this, he brings things outside the drama - convenience and economy - into the work itself.65
Each character is associated with a particular timbre. For example, the Acrobat is associated with the piano and also with brass and percussion. Other important characteristic timbres include the following: flute, vibraphone and saxophone are the most consistently used for Lulu; Alwa's characteristic timbre is strings; Schigolch is associated with a chamber music texture; and the Schoolboy is associated with woodwinds and horns. The three characters who make the triple roll of the Prince, Manservant and Marquis are associated with solo strings - the Marquis, solo violin; Manservant, solo viola; and the Prince, mainly solo cello. These timbres are modified and redefined when the same character reappears in different formal and dramatic contexts.

It is also important to know that each character is associated with a particular 12-tone series and characteristic rhythmic or metric patterns. These series are used to differentiate between the various figures in the opera. Not only do the series have characteristic rhythmic or metric patterns, but they also each have a characteristic contour and give rise to individual harmonic and melodic formations which act as Leitmotivs throughout the opera. Jarman further clarifies the use of the rows by saying that at different places in the opera, a series may be used in different ways. An example that he gives is Dr. Schön's
series. At P-0, it is used to identify him as an individual. At I-0, its use is that of relating him to other characters through harmonic and tonal areas it has in common with other series. At P-4, the opening notes outline a D flat triad which acts as a "tonic" for his music in much of the opera. Jarman further states that all the musical material of Lulu could be considered as falling into three groups: those passages exploiting harmonic and melodic differences between series; those passages based on harmonic, melodic and tonal characteristics which certain series have in common; and those passages consisting of overtly tonal passages which invite traditional interpretation. Jarman says that the distinction between these three groups helps to define the form, with each harmonic-tonal group putting the structure of the work into a systematic whole.

In the Prologue, each beast introduced by the Animal Tamer is accompanied by the 12-tone series, the specific forms of which will be discussed later, and any other musical characteristics associated with one of the figures in the opera. The Animal Tamer himself represents the Acrobat and is accompanied by the Acrobat’s white-key, black-key tone clusters on the piano. These clusters represent the Acrobat’s role as a circus performer. The Tiger represents Dr. Schön and is accompanied by his series and the main theme of his sonata movement. The Camel equals The
Painter and one hears the opening bars of his arioso of Act I, scene 1. The Lizard represents the Medical Specialist with his characteristic dyads. With the Monkey, one hears the Marquis' harmonized chorale theme on solo double bass, cello, viola, and violin. Because the Prince and the Manservant are a triple role with the Marquis, this chorale theme on solo double bass, cello, viola, and violin, also represents them. With the Worm, a segment of Schigolch's row in sixteenth-note quadruplet figurations is heard. The Crocodile is accompanied by Countess Geschwitz's serial figure and characteristic accelerando-ritardando rhythmic pattern. The Snake represents Lulu. With its introduction, one hears Lulu's entrance music played on strings, flutes, harp, and vibraphone.\(^76\)

Of all the characters, the Acrobat seems to be the most closely related to other characters and Berg. As was stated in the previous paragraph, the Animal Tamer is associated with the Acrobat through the appearance of the Acrobat's chord clusters on the piano. The Animal Tamer is also associated with Alwa, who represents Berg as the composer of the opera.\(^77\) We shall later see how the Acrobat's chords are used with Alwa. The Bear also represents the Acrobat because the Bear is accompanied by the Acrobat's series in 9/8 rhythm with the bass drum associated with the Acrobat.
As has been demonstrated above, Lulu is very tightly constructed. Each act has an overall form that is strongly connected with the drama. Some characters are connected through their performers and musical material. Each character has a particular 12-tone series with other characteristic patterns and timbres which interact with the other characters' in various ways. It will be shown what bearing the piano has on this tightness of construction. First, however, some technical aspects of the writing in Lulu will be investigated.

C. TECHNICAL ASPECTS OF BERG'S WRITING IN LULU

1. Orchestration

First of all, Berg was an excellent orchestrator and used the piano as an orchestral instrument in the way that many composers do - as a doubler of other instruments. The percussive quality of the piano imparts an incisiveness to woodwinds, brass, strings, harp, or percussion in all registers. Examples of all of these doublings can be found in Lulu. Since this aspect of the piano and Lulu is not of major importance in this document, only a few specific examples will be cited here. The piano's doubling of percussion at various registers has been chosen because of its more noticeable dramatic impact. One example of the piano doubling percussion in the low register is found in Act II, mm.
652-655 where it doubles timpani and bass drum.

Example 1. Alban Berg, Lulu, Act II, mm. 652-655 of the piano, timpani, and bass drum parts.

The piano doubles percussion in the middle register when it doubles side drum, harp and violin in Act II, mm. 49-50.

Example 2. Alban Berg, Lulu, Act II, mm. 49-50 of the piano and drum parts.

The piano doubles percussion in the high register when it doubles triangle and vibraphone in Act II, mm. 644-5.

A doubling for the piano that is less universally used by orchestrators, but is found in *Lulu*, is that of doubling the voice. Because it is often marked *mit Gesang*, "with the singer," and sometimes *eventuell mit Gesang*, "if necessary with the singer," as in Act I, mm. 170-176, example 4, one surmises that the main purpose of the piano is not to add incisiveness to the singer, but to give security of pitch.
Example 4. Alban Berg, Lulu, Act I, mm. 170-176 of the piano and vocal parts.

Example 4.

Example 4.

Example 4.

Example 4.

Example 4.

Example 4.

Example 4.

Example 4.
Schoenberg expresses another idea relating to the piano and the orchestration of *Lulu*. He was invited by the publisher after Berg’s death to complete the scoring of Act III from Berg’s original piano score, but refused the invitation because:

Berg’s conception is fundamentally different from mine. Whereas I unconditionally work toward the unified effect of the combined orchestral parts, his way of thinking is decidedly pianistic. He nevertheless understood how to realize this in the orchestra in an extremely effective way, and was able, in every case, to express the character, and the mood that he intended .... Look, for example, at page 20 of the *Lulu* [Suite] [p. 605 of the opera score]. The bass parts are the left hand of a movement for piano. Or pages 38-40 [pp. 633-643], a place which will nevertheless surely sound lovely and characteristic.

The example Schoenberg cites on page 605 of the opera score, has an arpeggiated bass of root, fifth, and then the third of major triads. This is an idiomatic figure often found in piano writing. Also, for some elusive reason, in these few measures, it sounds very pianistic. An explanation for the example on pages 633-643 is less certain. In looking at the score, one sees that the piano doubles nearly everything on those pages. Schoenberg knew that Berg wrote his ideas first on the piano, and then orchestrated from the piano score. In this particular section, this technique of writing seems fairly obvious because of the piano’s doubling most of the material. However, it does not sound particularly pianistic. The sound it does have, in Schoenberg’s
opinion, fits the mood of what the opera is expressing at that time.

2. Characteristic Vocabulary of Berg's Compositions

In looking at a few selected scores - Sonata Op. 1, Four Pieces for clarinet and piano Op. 5, the Chamber Concerto, and Wozzeck - one finds numerous details that are hallmarks of Berg's personal language in his writing. One characteristic that is particularly prominent in all of the above scores, except the brief part in Wozzeck, is Berg's penchant for complex rhythms either between the hands or from one beat to the next. Often these rhythms are marked accelerando or ritard, making them even more difficult. Other favorite devices are whole-tone scales, chromatic scales, chromatic movement in the bass, sequences that repeat chromatically, chords built of perfect fourths combined with tri-tones, augmented chords usually of more than 3 notes, major second dyads, parallel motion, very very soft dynamics, chords needing to have the thumb play more than one note, and extremes in range. Texturally his writing is very rich with "skillful contrapuntal manipulation."81 His writing is very lyrical, very expressive, and has strong formal elements.

In looking at the piano writing in Lulu all of the above are found except for the very, very soft dynamics. To
find this would be surprising for the piano part in an opera anyway, since the role of the piano as an orchestral instrument is much different from that of a solo or chamber instrument. Also, although complex rhythms do exist in the piano, they do not seem as pervasive as in the solo or chamber works. This again may be due to the lesser importance of the piano to the overall effect of the music. The following examples of his piano writing in *Lulu* are not inclusive: complex rhythms between the hands - Act II, m. 746; complex rhythms beat to beat - Act II, mm. 119-120, 136-137, and 745-746; whole-tone scales - Act III, mm. 559-560 and 688; chromatic scales - Act I, mm. 267, 351, 407-409, and Act II, mm. 553-555; chromatic movement in the bass - Act I, mm. 71, 161-167, 177-185, 186-188, 596-597, 613-614, 1282-1283, 1328-1329, Act II, mm. 156-158, and Act III, mm. 490-493; sequences that repeat chromatically - Act I, mm. 267-268, 351-352, 512-513, 675-678, 691-693, 858-862, 1063-1064, Act II, mm. 145-149, 156-158, 529-530, 620-624, 662-665, 709-712 and Act III, mm. 483-484 and 489; chords built in perfect fourths with tritones, Act I, mm. 125-127, Act II, mm. 273, 278, 280, 313, 675-678, 696-699 and 805. The augmented chords do not usually have more than three notes - Act I, mm. 392-394, 679 and 1052-1054. Major second dyads are found in Act I, mm. 50, 52, 140, 366, 1068-1070, Act II, m. 459, and Act III, m. 553; parallel motion in Act I, mm.
858-864, 873-874, 928-932, 949-951, 973-975, 1061, 1062-1065, 1079-1080, 1217-1218, 1225, 1296, and Act II mm. 587-601; chords needing to have the thumb play more than one note in Act II, mm. 122-123 and 805; extremes in range in Act I, mm. 42-43, 948-951, 1279-1280, Act II, mm. 122-123, 361-377, and Act III, mm. 559-560. The piano writing itself in Lulu is sometimes contrapuntal, example Act I, mm. 358-360, but more often is not. It does form a contrapuntal texture with the other parts, Act I mm. 369-380. Also, the music as a whole, being serial, is contrapuntal. Although the writing for the piano in Lulu not always lyrical, an example being the Acrobat’s chords, the work as a whole is, and the piano being an element of the whole is therefore lyrical also. Some examples of this are the Prologue, mm. 42-43; Act I, mm. 351-357; and the chamber music in Act III, mm. 470-498. The work as a whole is highly expressive and again, the piano’s being a part of this, would mean that it is also expressive. Probably the best example in the whole work is Lulu’s Todesschrei (death shriek) in Act II, mm. 1204-1304, when chills probably run down the spine of everyone in the audience. The strong formal elements have already been discussed.

In comparing the piano writing in Lulu to that of the chamber and solo works, one finds that the technical demands are not as great, although the part is not easy. One of the
large contributing factors to the difficulty of this work, *Lulu*, is that of endurance. In *Lulu* that problem is minimized due to many measures of rest between times of playing. The control for extremes of dynamics is not required as much in *Lulu* because the softest dynamic is not below pp and the loudest not beyond fff. The biggest part for the piano, the chamber music in Act III, does not begin to compete rhythmically with the complexities found in the clarinet pieces, or with respect to endurance with the solo sonata or the Chamber Concerto. However, it is still a demanding part. To learn all of it, which is much longer than any of the chamber or solo works, would be quite a task. To have good ensemble with the rest of the orchestra would require great accuracy and security with one's own part. Just keeping track of the meter changes at times would be a challenge. Rather than physical endurance for this part, one would need mental endurance because of the length of the work, and the complexity of the whole score.

D. AUTOBIOGRAPHICAL COMPONENTS OF LULU

Another aspect of this opera and the piano that is extremely intriguing and interesting to keep in mind, is that of the opera's being to some extent autobiographical. Douglas Jarman says that many of Berg's works are autobiographical or contain autobiographical elements. The most
tangible evidence of this is that Berg has rewritten the part of Alwa to be a composer rather than a poet and playwright. The most fascinating aspect of this to a pianist is that Berg's instrument was the piano. As was briefly discussed above, the piano is important for the Acrobat, Alwa (who represents Berg), and the Animal Tamer. In the prologue, one gets the feeling that the Animal Tamer represents Berg too. The Animal Tamer introduces the characters of the opera and invites the audience in, practically making it an active performer in the opera. When he briefly discusses himself as the Animal Tamer, this section is clearly preceded and ended by the piano's timbre.

There are other aspects of this opera that make it autobiographical. One of these is the asthmatic Schigolch whose painful breathing is set musically and quite prominently several times. Another is Berg's sympathetic handling of Countess Geschwitz who is a lesbian and reflective of Berg's lesbian sister, Smaragda. Lulu's second husband, the Painter, kills himself when he learns of Lulu's and Dr. Schön's relationship. Smaragda had once attempted to kill herself after her divorce, and Berg had also once tried to kill himself after an unsuccessful love affair. Lulu never knew who her father was and at age 12 came under the guidance of Dr. Schön. Berg did know who his father was, but he died when Berg was 15. At age 19 Berg became a
pupil of Schoenberg, whom he also looked on as a father figure. To take this a little further, of all the husbands and lovers that Lulu had, her love for Dr. Schön was the strongest. Of all the influences that Berg had, Schoenberg was the strongest. Even their names have a remarkable resemblance. (Berg must have noticed it also, as evidenced by a letter written by him to Schoenberg, August 27, 1931. He discusses a letter he received from Ernst Schoen asking Berg if he would let Schoen publish Berg's lecture on Wozzeck. Schoen says Schoenberg has consented to having his own lecture published. Berg's post script to his, Berg's letter to Schoenberg, in reference to Schoen's letter says "It would naturally be appealing if for Schoen Berg does something that Schoenberg also does." In another letter written to Schoenberg on August 28, 1934, Berg says "I know that to his (Alwa's) question: "May I come in?" (the first words in the opera, Lulu, after the curtain rises) you would reply with Schoen: "Come right in!" Berg's sympathetic handling of Lulu reflects the influences on Berg's thinking, particularly by Kraus. Because many of the above are in the original Wedekind plays, Earth Spirit and Pandora's Box, one might be inclined to say they are therefore not autobiographical for Berg. However, the parallels between the plays and Berg's life may have been part of their attraction for him.
Douglas Jarman says that Berg had a bias towards structures that are symmetrical and palindromic. Jarman feels that these kinds of structures seem to have had both an intellectual and a deeply emotional significance for Berg. He supports this by saying that Hans Redlich has commented on the mystery that permeates the music when the palindromic structures begin their backward movement. Jarman further backs this with Misha Donat’s quote, "...in Berg, retrograde movement represents almost a view of life."\textsuperscript{87}

This autobiographical element appears in \emph{Lulu} in the very middle of the opera during the film sequence. The second half of the music of the film is a complete retrograde of the first half of the film music.\textsuperscript{88} M. 687 of Act II is the middle of the film and the opera. One sees that the piano is the most prominent instrument visually and aurally, because it is the only instrument with moving notes.
Example 5. Alban Berg, Lulu, Act II, m. 687, full score.
Another autobiographical element of Lulu is found in some hidden symbolism in the Film Music and the end of the opera. Berg's relationship with Hanna Fuchs-Robettin was disclosed in 1977 with George Perle's discovery of the annotated score of the Lyric Suite. In the Lyric Suite, Hanna's initials combine with Berg's to form the basic cell, b f a b-flat. In Berg's annotations to the Film Music, the Film Music contains a marginal note referring to a sustained b natural in the violins at the midpoint in measure 687. This note says: "Welch Zufall! Aller letzte Scene! Immer das H!" ("What a coincidence! The very last scene! Always the B natural!") Perle says that this is a confirmation of the private H-F symbolism of the final bars of Lulu.

Evidence in his letters to Schoenberg indicates that Berg may have thought of himself as more of a pianist than some biographers have believed. In some letters written during his working on Lulu he makes references to his practicing. From Vienna, February 1929: "Due to preparations for the lecture... and practicing the accompaniment [he was accompanying Lisa Frank for his Early Songs, 1905-08, to be performed on the radio] I'll be incredibly busy..." In the train, 5 December 1929: "Having mentioned this piano performance in the Vienna Opera (he assisted Zilling, a German composer and conductor who had studied with Schoenberg and
was solo coach and conductor at the Düsseldorfer Oper 1928-32, in playing the 4-hand passages from Wozzeck) and other conferences there, I have already cited some of the reasons why I've had so little time until now." Later, in the same letter he says he was busy "practicing the piano (not long ago I accompanied Stella Eisner in my Early Songs - at the Austrian Club)." Perhaps because of this, one could consider the piano to be an autobiographical element also.

As one can see from the above, there are many aspects of Lulu that are autobiographical. It is interesting to keep this in mind when one is looking at Lulu, focusing on the instrument, piano.

E. PIANO'S USE IN DRAMATIC UNIFICATION

1. Sectional Divisions

George Perle points out that the Basic Cell IV, example 6, serves mostly as a cadential detail.

Example 6. Basic Cell IV.93

He states that it first appears in the Prologue at mm. 42-43 as the Animal Tamer tells a stagehand to bring in "our
snake," Lulu, and returns at mm. 66-67 as she leaves the stage. He also states that it is a component of the concluding bars of each act: Act I, mm. 1359-1360; Act II, mm. 1144 and 1147-1148; and Act III, mm. 1321-1322. It also appears at the exact midpoint of the Film Music, and therefore serves as the conclusion of the first half of the opera, and the beginning of the second half.\footnote{94} What he does not point out, is that the piano is playing this cell at every one of these cadence points.

Generally speaking, the piano’s timbre is used very often to signal the beginning and end of a different section of music. This of course is not used every time, because to do so would to be hitting the audience over the head with a hammer. Instead, it is subtle.\footnote{95} However, the timbre is used often enough that it is safe to say that it is indeed an important formal and, because for Berg the form is a part of the drama, dramatic device.

One strong argument in this favor is a close look at the prologue where all important themes, rhythms and timbres for the whole work are set forth as was described above in the discussion of the Animal Tamer and the animals of the zoo. There is an introduction of 6 mm. after which the instruments are silent during the start of the Animal Tamer’s speech. Piano makes an appearance in 5 and 6. In m. 9 the orchestra reenters with a kind of Stravinskian
neoclassic sound. George Perle labels this as Circus Music. At the end of this section, m. 16, the huge black-key and white-key chord clusters appear. They are often associated with the Acrobat. The Animal Tamer has been describing the people in the opera and who come to the opera. At m. 17, which was just preceded by the huge piano chords, the style of music changes. It now sounds more serial and not at all neoclassic. Here the Animal Tamer begins introducing the animals of his menagerie. The next big change in the style of the music comes at the pick-up to m. 44 when the Animal Tamer asks the stage-hand to bring out the snake which represents Lulu. Here the music takes on a romantic style which could also be described as lascivious or extremely seductive. In mm. 42 and 43, the piano makes a very noticeable entrance with chords played practically alone in the fate rhythm, example 7.

Example 7. Fate rhythm.\(^{96}\)

\[\text{\begin{align*}
\cdot & \cdot \\
& \cdot \cdot
\end{align*}}\]

Dramatically this is interesting because it is the first time Lulu comes onstage. The next time the piano has a prominent role is at the end of the Lulu section when the Animal Tamer asks the stage-hand to take Lulu back off-stage in mm. 66 and 67. The next change in the style of the music
occurs at m. 73 in which the neoclassic material reappears. The piano is heard prominently in mm. 72 - 73 with some single bass notes. In mm. 73 through 79, the Animal Tamer is discussing himself who, as was said earlier, is associated with Alwa and Berg. It is extremely interesting that this section is preceded by the prominent bass notes in the piano, and then is concluded with the huge black-key, white-key clusters in m. 79. In m. 80, at the beginning of the last few measures preceding Act I, the piano is again clearly heard. The Animal Tamer has just invited the audience to take its place.

Because the three Acts of Lulu present an overall ABA structure with the final scene of Act III acting as a recapitulation of much of the material of the earlier parts it would seem more efficient to look in detail at the use of the piano in this, than the other two, if one were going to look at only one of the three acts.

Act III begins with the same material as mm. 9-16. It is interesting to note that although the material is almost exactly the same, the instrumentation differs widely - except for the huge piano chords. The piano timbre again acts cadentially, occurring just before what Perle labels part b of the Circus Music, which starts at m. 14. Dramatically, the action of Act III, scene 1 starts here, when the Acrobat invites guests to enjoy themselves at Lulu and Alwa’s party.
Several sections then do occur without the piano’s punctuation. The b section goes through m. 25, the Ostinato from 26-38, and the Circus Music appears again in mm. 39-52.

Next comes the Concertante Chorale Variations, mm. 83-230. The first variation goes from m. 83 through 88 followed by Episode 1: English Waltz mm. 89-98. Piano is prominently heard in m. 98 and the first beat of m. 99, the beginning of Variation 2. During this variation, the Marquis first lets Lulu know that he means to send her to a brothel in Cairo. The next time that the piano is noticeably heard is in mm. 187-188 which is the end of Variation 5 and the beginning of Variation 6. During this variation, the Marquis tells Lulu that either the government will pay him in German currency for turning in Lulu as Dr. Schön’s murderer, or that the Egyptian will pay him in English gold for Lulu to work in a brothel. He is saying that he will not take Lulu’s holdings. He only takes cash. The piano remains in prominence through all of Variation 6. Aurally, one variation does not sound different from the other in the way that variations sound different in Mozart, Beethoven and Brahms. Rather, these variations deal largely with transpositions of the tune. Unless one were watching the score, one would not know that variations are taking place in the music, unless one had a very acute ear. This lack of aural distinction to most people might serve as one explanation
for Berg's not using the piano's timbre to set one off from
the other in most cases. A big change in the music occurs
at m. 230 with the return of the Circus Music. Piano is
heard in the bass here. Dramatically, the conversation
between Lulu and the Marquis has just ended, and the whole
party enters the room. At the end of the first part of a
Leitsektion starting at m. 231 the piano reenters with
the huge black-key, white-key chords of the Acrobat. These
occur just before Lulu reads the Acrobat's message which he
had handed to her awhile ago. It says, "...ich brauche zwanzigtausend Mark, ansonsten Anzeige" ("Hand over the 20,000
marks, or I'll inform on you"). M. 294 is at the end of a
Leitsektion starting at m. 283 and also the end of Ensemble II and the beginning of Duet II. At m. 294, the
piano again is prominently heard playing a smaller version
of the Acrobat's black-key and white-key chords. These
occur just before the Acrobat directly confronts Lulu, asking her if she had read his note to her.

At m. 315 a large ritard takes place. The music sounds
very different at m. 316. The tempo has changed from eighth
note = 120 at m. 294 to quarter = 104 - 108 at m. 316. In
the previous section the meter was either 6/8 or 3/4. Now
it becomes a duple meter of cut time. In the previous
section, many accents are on the off beats. In the new one,
the rhythm becomes very much on the beat, creating a
néoclassic feeling. The piano again makes a big entrance with two big chords at mm. 314-315, separating these two contrasting sections. The Acrobat, in m. 314 discloses why he is blackmailing Lulu. He needs the money to get married.

At the end of the conversation between Lulu and the Acrobat at m. 352 the huge piano black-key and white-key chords again are heard. They mark the end of Lulu and the Acrobat’s conversation and separate their duet from the Pantomime which begins in m. 353.

The piano again is heard in m. 368 right before a grand pause in m. 369 that separates the Pantomime from Duet III which begins in m. 370. During the Pantomime, the party enters, the Marquis looks at Lulu and then points to his watch, the Banker receives a note that Jungfrau Railway shares crash, and Lulu looks depressed. As most of the party leaves for the gaming room, the groom whispers something to Lulu that gives her renewed hope. The grand pause immediately precedes Schigolch’s entrance.

The piano softly plays in mm. 370-373 at the beginning of Duet III. In mm. 408 and 409 the music briefly comes to a halt. Lulu has just told Schigolch that she is in a trap and that "man zeigt mich an!" ("he will spill the beans!"). Schigolch asks "Wer zeigt Dich an?" ("Who’ll spill the beans?"). Lulu replies "Der Springfritze" ("The high-jumper"). At this point the piano not only marks the coming
pause in m. 407, but graphically depicts the high jump with a high white-key chord followed by a low black-key chord. These chords also carry the dramatic significance of being the Acrobat's chords. A few measures later, a big change in the music of the duet occurs in m. 447 set off by a ritard, change of meter and tempo. In mm. 445 and 446, the piano again is heard at a cadence point. Lulu and Schigolch have just finalized how they are going to get rid of the Acrobat. The cadence occurs before the conversation switches to discussion of Schigolch's girlfriend.

The third duet ends at m. 469, at which point the piano has its biggest part in the whole opera. M. 470 is the beginning of a cadenza for solo violin and piano. Either this or the preceding duet between Lulu and Schigolch serves to round off the symmetry of chamber music for woodwinds (also with a few bars for piano and percussion) in Act I, mm. 463-532, and chamber music for wind, piano, and eight solo instruments in Act II, mm. 834-952. The solo piano chords both start and end this cadenza. The violin does not play in the last two measures, which end with a huge ff chord cluster in the upper register of the piano. This sustained chord is the only instrument other than voice which is heard at the beginning of the next section of music which Perle labels Scena. During the cadenza for violin and piano, the Marquis asks the Acrobat if he had threatened
Lulu. The Acrobat denies it.

The Scena takes place in mm. 499-563. In this, four types of declamation take place in a sequence copied from page 779 of the score.

Example 8. Types of declamation in Alban Berg, Lulu, Act III, mm. 499-563.

The piano is heard at the beginning and/or end of all of these except for the tempo parlando at 548. During mm. 499-511, Lulu and the Acrobat argue about why Lulu told the Marquis that the Acrobat had threatened her. In mm. 511-517, Lulu tells the Acrobat that Countess Geschwitz will drown herself if the Acrobat does not come to see her. He says he hopes "sie soll ins Wasser springen." ("the water suits her."). In mm. 518-523, Lulu says if he goes, the Countess will give Lulu some money. If he doesn't, he won't get a penny. In the Cantabile section starting at 524, Lulu says, "Du machst vier Menschen glücklich, wenn Du fünf gerade sein lässt und Dich einem wohltätigen Zweck opferst."
"You'd make 4 people happy if for five whole minutes you'd sacrifice yourself as a sacrificial burnt offering." which are the exact words that the Acrobat had said to Lulu in Act III, mm. 334-339. In the Tempo parlando, 527-528, the Acrobat agrees to go to the Countess. In the Recitativo, mm. 529-531, the Acrobat decides where he will meet Countess Geschwitz. In the Gesprochenes, which is immediately preceded by the Acrobat's piano chords, Lulu calls out, "Martha!" which is the only place in either the play or the opera where Countess Geschwitz's given name is mentioned. Piano is the only instrument, besides voice, that is heard in this measure. It is sustained with the pedal, with the release of the pedal indicated precisely at the beginning of the Recitative at the beginning of m. 533. During this Recitative, Lulu sets her plan for getting rid of the Acrobat into motion by telling Countess Geschwitz that she must go to a brothel with the Acrobat, or else he will denounce Lulu. (In actuality, she is sending them both to Schigolch's place where he will throw the Acrobat out the window.) The piano does not mark the beginning of the Tempo parlando that begins at 540, but does mark its end. During this, Countess Geschwitz says she doesn't understand how her going with the Acrobat will help Lulu. Lulu says that by Countess Geschwitz's soothing his vanity, he will not pursue Lulu. The transition from the end of the Tempo parlando
into the beginning of the Cantabile at m. 545 is marked by the piano. During this transition, Countess Geschwitz asks "Und was dann?" ("What then?"). Lulu promises not to sleep until Countess Geschwitz comes to her. Countess Geschwitz then says "Dann lass ihn kommen." ("Then I accept."). Piano does not reenter until the end of the Recitative section at m. 553 where it is the only instrument heard as it arpeggiates the Acrobat's black-key, white-key chords at a forte dynamic followed by a crescendo. Its last note is sustained all the way through the Gesprochenes in m. 554, in which Lulu calls the Acrobat to join her and the Countess. Other than voice, it is the only instrument heard. The pedal release mark is exactly at the bar line of 555, where the next Recitative begins. During this, the Acrobat enters from the dining room with his mouth full. The piano does not enter again until the very end of the Tempo parlando in m. 558. It marks the end of this section and the beginning of the Cantabile with the Acrobat's piano chords. The Countess has just thrown herself on his mercy and the chords accompany his words "A la bonne heure!" at the end of the Tempo parlando and the beginning of the Cantabile, mm. 558-559. The piano is heard quite prominently throughout the final Cantabile of the Scena. It soloistically ends the scena at mm. 561 and 562 with an ascending white key glissando which starts f and crescendos to sffz, followed by a
long, loud descending black key glissando. A completely different section of music begins at m. 564.

Perle labels the section starting at m. 564 as Ensemble III and the Circus Music and divides it into several sections. The piano is heard at the end of the Circus Music, the first of these sections, in mm. 594-597. The Banker has just refused to take a share certificate from a Journalist. The Journalist accuses him of being afraid of losing. The Banker says he is not. The piano enters at this point, during his denial and at the beginning of when he says that instead of shares, the Journalist must pay up in real money.

The next major change in the music, according to Perle, occurs with the onset of the Melodrama at m. 652. The piano is heard throughout most of the preceding Circus Music, mm. 638-651 and then throughout most of the Melodrama. During the Circus Music, the Banker informs the people at the party that they are bankrupt because the railway shares are now worthless. At the beginning of the Melodrama, the Mother of a 15 year old daughter faints. Then, most of the people exit. The Melodrama comes to a brief halt with a fermata in m. 665 which is sustained by the piano and vibraphone. The Mother has recovered from her fainting spell and leaves with her daughter.
The Recitative which starts in m. 676 is immediately preceded with the piano as a part of the orchestra. During this, Lulu makes her escape by exchanging clothes with the groom. The next big section is the interlude to Act III with pick ups in m. 692. The preceding section ends with a very noticeable arpeggio on the piano in m. 691a. During this interlude no direct action happens onstage. When scene 2 begins however, one realizes that during this time Lulu, Alwa and Schigolch have been in transit to London.

The interlude consists of four variations. The piano plays continuously throughout Variation I. Midway through m. 708, Variation II begins. Piano is prominently heard at the beginning of this and remains prominent throughout. In Variation III there is no piano until the last three eighth notes leading into Variation IV in m. 729. It continues into Variation IV for one measure. The variation is only six measures long. Piano plays for 2 and one-half beats in m. 2, drops out in m. 3 and the first half of m. 4. Then it reenters for the next 5 beats (there are 7 beats per measure in this variation), after which it remains silent for the rest of the variation, through m. 735.

Act III, scene 2 begins at the next measure at which point the piano reenters. It only plays at the beginning of m. 736 at which point it is silent until m. 799. M. 736 is very long with 10 beats and serves as an introduction to
what Perle calls Scena I and Scena II, an outline for which is given below:

No. 54. Scena I:
   A. Melodrama, Part 1: THEME (Barrel Organ Music) (mm. 737-752)
   B. Melodrama, Part 2 (mm. 753-767)
   C. Lulu and the Professor, 1st entrance (mm. 768-823)

No. 55. Scena II:
   A. Melodrama, Part 1: THEME (Barrel Organ Music) (mm. 824-842)
   B. Melodrama, Part 2 (mm. 843-849)
   C. Lulu and the Professor, 2nd entrance (mm. 850-869)

There is a definite difference between the music of Scena I:A and the music of Scena I:B. The only real aural difference between Scena I:B and Scena I:C is that the meter changes from 3/4 to 4/4. Within C of Scena I, at m. 773, is a section having many fermata rests separated by sections strongly dominated by the fate rhythm. This goes from mm. 773-790. At m. 791 comes a "Romantic" section dominated by saxophone and strings, which continues through m. 798. At 799 begins a section dominated by the piano and winds which sounds neoclassic. During this section, Lulu's first client, the silent Professor, and she discuss payment. This continues through 809, at which point the saxophone, strings, "Romantic" section returns. The piano drops out again in m. 813. With the advent of Scena II, the same sequence of sections recurs in a somewhat shortened form, with the deletion of the saxophone, strings, "Romantic"
sections. The Barrel Organ music returns at m. 826 and continues through 842. The Melodrama, part 2 section reappears in mm. 843-858. Starting at 859, the section with many fermata rests recurs. However, instead of being separated by sections dominated by the fate rhythm, Berg uses the piano, winds, neoclassic material. During this section, Lulu sadly says good-bye to the Professor. Piano is present at the beginning of the transition section, m. 870, but has dropped out by the end at 887. During this transition, the main dramatic event is the appearance of Countess Geschwitz.

A long quartet between Lulu, Countess Geschwitz, Alwa, and Schigolch begins at m. 890 with a two measure introduction in mm. 888-889. The piano plays at the beginning of the quartet at m. 890 for six measures. It then is heard sporadically throughout the quartet which continues through m. 1023. During this, Countess Geschwitz arrives. She brings with her the portrait that Lulu was posing for in the first scene, in a Pierrot costume. This portrait has been in every scene of the opera. Alwa says he now remembers why his fate has been as it has. Lulu despairs how she has deteriorated and says she must go to the streets and get a man. Countess Geschwitz and Alwa try to prevent her, but she leaves anyway. Countess Geschwitz follows her.

Perle labels the next section which begins at m. 1024 and continues through 1109 as Scena III. Within Scena III,
he labels mm. 1024-1047 as Variation II. The piano is heard quite prominently in m. 1024 and throughout most of Variation II. Piano is also quite prominently heard in m. 1047 marking the end of this section before the start of what Perle labels as the Melodrama which begins in m. 1048. Mm. 1024-1047 are a duet between Alwa and Schigolch in which Schigolch asks Alwa why he tries to prevent Lulu from making a living when Alwa won’t even try to get a job. Alwa says he is too sick and tormented.

The piano is completely deleted from the short Melodrama, mm. 1048-1057. During this, Alwa and Schigolch hear Lulu returning with a customer, and hide.

The next section is quite long, going from 1058-1109. This is the section dealing with Lulu and the Negro. There are many recapitulations of Leitsektionen in this. Piano marks the start and/or end of many of these. The first Leitsektion goes from 1058-1062. The piano is heard quite prominently in 1062. Lulu and the Negro enter. The piano does not play in the first measure of the next one which starts in 1063, but then is important in the remaining four measures. During this section, Lulu offers the Negro a drink. The piano remains important for the next two measures, 1068-69, which separate one Leitsektion from the next. The piano drops out completely at the very beginning of the Leitsektion starting in 1070. It remains out for the
entirety of that Leitsektion which ends at the end of 1073. During this short section, Lulu tells the Negro he is handsome. The next Leitsektion overlaps with the previous one, starting at 1073. The piano does not enter until the last measure of this one, 1080. During this section, the Negro tells her of all his women, none of whom he loves. The piano then makes a very prominent entrance in 1081, marking the beginning of some non-Leitsektion material. During this, Lulu discusses payment with him. For the next four Leitsektionen the piano plays fairly consistently and does not noticeably mark beginnings or endings of them. During these Leitsektionen, mm. 1087-1109, he begins to attack Lulu. Alwa comes out from hiding and attacks the Negro. The Negro kills Alwa and leaves. Lulu looks at Alwa and flees. Schigolch comes out of hiding and bends over Alwa.

Next comes what Perle labels as Scena IV and the Finale. Perle divides this into sections A-H. Section A, Variation III, goes from mm. 1110-1122. The piano, except for 4 beats, is totally deleted. During this, Schigolch drags Alwa into hiding so he won’t scare the next customer. Schigolch seems to believe Alwa is only asleep. Then comes Section B, a transition, mm. 1123-1145. The piano is totally deleted. Countess Geschwitz returns and Schigolch leaves for the local pub.
The next section, Section C, is fairly long going from 1146-1187. This is Countess Geschwitz's solo in which she contemplates various forms of suicide and then finally goes to Lulu's picture begging her to be kind to the Countess. One of the musical characteristics for Countess Geschwitz is a shifting of tempo, usually an accelerando and then a ritardando. In these measures, the music changes tempo nine times. The piano marks every one but the first of these. The piano also strongly marks the dramatic action. It is heard before and after she suggests jumping in the river; then again before and after she contemplates using a knife; before and during the idea of hanging; and while she drags herself before Lulu's portrait. Lastly, it is heard just before the final tempo change in which she begs Lulu three times to "Be kind to me!"

M. 1188 starts section D of Scena IV which continues through 1234. The cellos start this section, but the piano comes in clearly immediately before Jack sings his first words. After Lulu makes her first reply to Jack, the same notes are again heard in the piano in m. 1191. Immediately after this is a transition to a Leitsektion going from mm. 1193-1199. During this, Jack tells Lulu she is pretty and asks her the price. Another Leitsektion begins in m. 1200 immediately after the preceding one ends. Piano does enter in m. 1200, and plays somewhat consistently throughout. It
is the most noticeably heard at the end of this Leitsektion in m. 1211. During this section, Jack says he will only stay for awhile. She begs him to stay all night. He says "Guten Abend" which ends the Leitsektion and is when the piano enters. This measure also overlaps with the beginning of the next Leitsektion which goes from mm. 1211 through 1220. During this, she again tries to persuade Jack to stay.

The next major section, Section E, starts at 1235. Piano again does not significantly mark the beginning of this, but very clearly marks its ending by playing chords in the fate rhythm from mm. 1275-1277 and then repeating the same notes played earlier that marked Jack and Lulu's first exchange. This is all played as Jack and Lulu disappear into the next room.

Section F starts in m. 1279. This begins the section in which Countess Geschwitz sings about becoming a lawyer to fight for the rights of women. The piano does not mark the beginning of this, but is the last instrument heard immediately before the next section which starts with Lulu's Nein, nein, nein, nein! just before her death shriek.

In the Todesschrei (death shriek) section, section G, the whole orchestra plays like mad for most of it, as one might expect. Piano contributes to the pandemonium, but is not heard above the other instruments.
The last section, starting at m. 1315, is again clearly marked by the same material in the piano that was played at Jack and Lulu’s first conversation. This marks the beginning of Countess Geschwitz’s closing song of devotion to Lulu. The piano does play in the final measures of the opera, but is doubling other instruments playing the fate rhythm, and is not heard above the others.

As was seen above, the piano is used for all of the incidences Perle cites that the Basic Cell IV is used as a cadence. Piano divides all the different sections of the Prologue. It divides many of the sections of Act III. Because Berg so closely correlates form to the drama, one can safely say that the piano is important to the drama of Lulu. We shall now look at another way in which the piano was important to the structure, and therefore the drama, of Lulu.

2. The Acrobat’s Black-key, White-key Chords

The white keys of the piano consist of the notes A, B, C, D, E, F, and G. The black keys of the piano are A-flat, B-flat, D-flat, E-flat and G-flat. This simple configuration strongly influences much of the harmonic and melodic material of Lulu. This section will demonstrate this. The sonorities that will be dealt with will be diatonic or pentatonic.
The following examples illustrate the Acrobat's black-key, white key chords, the Basic Series, and the principal series forms of some of the main characters.

Example 9. The Acrobat's chords.\textsuperscript{114}

\begin{music}
\begin{musicnotation}
\begin{musicmeasure}
\begin{musicchord}
\end{musicmeasure}
\end{musicnotation}
\end{music}

Example 10. The Basic Series at P-0.\textsuperscript{115}

\begin{music}
\begin{musicnotation}
\begin{musicmeasure}
\begin{musicchord}
\end{musicmeasure}
\end{musicnotation}
\end{music}

Example 11. Alwa's Series at P-4.\textsuperscript{116}

\begin{music}
\begin{musicnotation}
\begin{musicmeasure}
\begin{musicchord}
\end{musicmeasure}
\end{musicnotation}
\end{music}
Example 12. Dr. Schön's Series at I-9.\textsuperscript{117}

\begin{verbatim}
\textbf{Example 13. Countess Geschwitz's Trope (defined immediately after the musical example) at P-7.}\textsuperscript{118}
\end{verbatim}

\begin{verbatim}
A B C
\end{verbatim}

A trope, according to the way Perle uses it, equals a series which is a combination of two hexachords of mutually exclusive content, within each of which only the content, not the order, is specified.\textsuperscript{119}

The Acrobat's black-key and white-key chords play a role in the large-scale tonal structure of the work.\textsuperscript{120}

The Acrobat's Chords participate with the principal forms of the Basic Series, Alwa's Series, Dr. Schön's Series, and Countess Geschwitz's Trope as seen in example 14.
Example 14. The relationship between the Acrobat's Chords and the Basic Series at P-0, Alwa's Series at P-4, Dr. Schön's Series at I-9, and Countess Geschwitz's Trope at P-7. The top two brackets designate the first six notes and the last six notes of the Basic Series at P-0 as seen in example 10. The next highest brackets indicate the first six notes and the last six notes of Alwa's Series at P-4 and Dr. Schön's Series at I-9 as seen in examples 11 and 12. The others follow accordingly.

Douglas Jarman demonstrates the relationship between Dr. Schön's series, Alwa's series, Countess Geschwitz's Trope and the Acrobat's chords in a different way.
Example 15. The relationship between Dr. Schön's Series at I-9, Alwa's Series at P-4, Countess Geschwitz's Trope at P-7, and the Acrobat's chords.  

Jarman states:

The common segmental content of the series associated with Schön, Alwa, Geschwitz and the Athlete [Acrobat] is exploited, throughout those scenes in which the characters appear together, as a means of relating the different series and providing harmonic continuity, the two harmonic blocks defined by the "white-" and "black-note" segments of the different series functioning as referential areas...  

Though each of the most important of Lulu's admirers is identified by a different series, these series have,... a number of features in common, the most important of which is the contrast, at certain transpositional levels, between a "white-note" and a predominantly "black-note" hexachord.  

The constant exploitation of these musical similarities in Act II not only gives the act musical continuity but also has the effect of emphasizing the dramatic similarities between Lulu's admirers.
Dramatic unification through these interrelations is used in various ways. The hexachords of Schön's series at I-0 are the same in content as those of Alwa's at P-0. Not only are the hexachords identical in content, but each can be partitioned into three-note segments of the same order and content. Perle has suggested that this association is intended to symbolize the father-son relation of Dr. Schön to Alwa. 125

The unification of father and son through the black-key, white-key collection is used to dramatically join Dr. Schön's Arietta, "Das mein Lebensabend" ("This, the evening of my life") near the beginning of Act II, scene 1, with its dramatic and musical counterpart, Lulu's Arietta, "Du kannst mich nicht dem Gericht ausliefern!" ("You can't hand me over to the police!"), sung to the murdered Dr. Schön's son, Alwa, at the end of the same scene. Between these two Arietta's, appears Alwa's P-4 series, joining them. This culminates in Alwa's confession of love for Lulu. 126

Another way that these interrelations are used for dramatic unification can be found in the Circus Music. The opening bars of the Circus Music in mm. 9-10 of the Prologue, are based on notes 1, 2, 3 and 6 of the basic series at P-0. 127 These four notes are white-key notes and are common to the first hexachord of the basic series, Schön's series at I-0, Alwa's at P-0, the white-note cluster of the
Athlete, and segment B of the Countess's Trope at P-0.
Jarman says that one can see the significance of this pitch collection and the Circus Music in Act III, scene 1. The three large ensembles are introduced by this pitch collection and are also based on it.\textsuperscript{128} All the ensembles take place at Lulu and Alwa's home in Paris. The first one, mm. 26-38, accompanies the beginning of a party. In the second ensemble, mm. 231-294, the Banker announces that all those that invested in the railroad won tremendous sums. At the same time Countess Geschwitz and Lulu are arguing. Countess Geschwitz says Lulu is ungrateful for what Countess Geschwitz did to get her out of prison. Lulu tells Countess Geschwitz that she is crazy. In Ensemble III, mm. 564-651, the Banker informs the investors that the shares have lost their value and that everyone is bankrupt.

Countess Geschwitz sacrifices everything, eventually even her life, for Lulu. Her love remains unrequited to the end. Her counterpart is the Acrobat, "a brutal and ignorant egotist, incapable of love but sexually 'normal'."\textsuperscript{129} Berg uses the interrelation of the Acrobat's black-key and white-key chords and the Trope of Countess Geschwitz in Act II, scene 2 and Act III, scene 1, to help dramatize this duality. In each instance, Countess Geschwitz and the Acrobat confront each other. In Act II, scene 2, mm. 722ff., Countess Geschwitz, Alwa, and the Acrobat are waiting for
Schigolch to come and take Countess Geschwitz to prison to replace Lulu. Here the Acrobat’s white-key chord appears simultaneously with segments A and C of Countess Geschwitz’s Trope at P-7. Ex. 16 shows Countess Geschwitz’s Trope at P-7 and I-9. Ex. 17 shows how Berg uses the Acrobat’s white-key chord simultaneously with segments A and C of Countess Geschwitz’s Trope at P-7. In Act III, scene 1, mm. 537ff., Lulu is telling Countess Geschwitz the Acrobat’s message to the Countess. For this music, the Acrobat’s black-key chord appears simultaneously with segment A of Countess Geschwitz’s Trope at I-9, and is surrounded by segments B and C of the same Trope, ex. 18.130

Example 16. Countess Geschwitz’s Trope at P-7 and I-9.131 Brackets underneath indicate segments.
Example 17. Alban Berg, Lulu, Act II, mm. 722-726.

Acrobat's white-key chord

Segment C of Countess Geschwitz's Trope at P-7

Grafine Geschwitz
Im Lahnseel, in schwarzen, enganliegenden Kleid,
Tief in Kissen gebettet, einen Palst über den Kissen

Recitativ (d = 69 im Durchschnitt)

Segment A of Countess Geschwitz's Trope at P-7
Example 18. Alban Berg, Lulu, Act III, mm. 536-539.

Segment C of Countess Geschwitz's Trope at I-9

Segment A of Countess Geschwitz's Trope at I-9

Segment B of Countess Geschwitz's Trope at I-9
At the beginning of Act II, scene 2, as they are waiting for Lulu's return from prison, the Acrobat is saying that he strongly doubts that Lulu can possibly benefit from all that has happened to her. Countess Geschwitz defends her, saying that Lulu is more beautiful than ever. Close to the end of one of the Acrobat's phrases, his black-key, white-key piano chords are heard, mm. 737-738. English horn, oboe and bassoon then take over in m. 738 with Tropes C and B of Countess Geschwitz, doubled at the fifth. The outer notes of the Acrobat's chords become the initial dyads of segments B and C. Also, the B segments return to the black-key, white-key partitioning, thus again creating dramatic unification between Countess Geschwitz and the Acrobat.

Another dramatic unification between Countess Geschwitz and the Acrobat is found in Act II, scene 2, mm. 750-773, as Alwa, Countess Geschwitz, and the Acrobat wait for Schigolch's arrival. During mm. 750-773, the Acrobat is saying that he cannot go and get Lulu because he has to wait for his pink tights that should drive all the women in Paris wild. Immediately preceding this, in mm. 748-751, Countess Geschwitz is again confronting him: "Sie wollen Ihre Braut am Ende gar allein reisen lassen?" ("You're willing for your bride to travel on her own unescorted?"). Immediately after 773, in mm. 774-775, she again confronts him: "Und jetzt sagt der Mensch, er fahre nicht mit!" ("And now he declares
he'll send her alone!") The point is, that in approximately the middle of this section, in mm. 765-768, the Acrobat’s chords are clearly used in the piano, solo except for voice, pointing out again in a subtle way the conflict between Countess Geschwitz and the Acrobat.

A dramatic unification between the Acrobat’s Chords and Alwa’s Series is found in Act II, scene 2. There is a dialogue between Alwa and the Acrobat concerning the arrival of Lulu from prison. The orchestra sustains the black-key segment of the Acrobat’s Chords while its white-key segment is used linearly in the Acrobat’s vocal part. When Alwa sings, the g is deleted, making it the content of the first hexachord of Alwa’s Series. 134 Cf. example 11.

Example 19 (continued).

Die könnten doch noch nicht zurück sein.

nicht gesehen.

Zur

herr gesungen

Tempo

benker, so schließen Sie doch auf!

Tempo
The black-key, white-key chords also provide a unification in the music for the Acrobat himself. He is also represented by a series, which plays an unimportant role in the structure of the opera. \textsuperscript{135} His series is as seen in example 20.

Example 20. The Acrobat’s Series at P-0.\textsuperscript{136}

In Act II, mm. 100-104, the Acrobat’s series appears in his part in P-0 and P-1 form and in the orchestra in P-1 form.\textsuperscript{137}

His chords nicely round this off, appearing before in mm. 98-99 and after in m. 106. Later, in the viola, mm. 139-143, example 22, the Acrobat’s series appears in P-11 form, example 23.

Example 22. Alban Berg, Lulu, Act II, mm. 139-143.

Example 23. The Acrobat’s Series at P-11.138

Again this is followed by the Acrobat’s chords in m. 143.

The tonal material of Variation II of Act III, Interlude, found in mm. 709-719 is bi-tonally distributed. Some of the instruments play in G-flat Major/e-flat minor and others in C Major/a minor. This is consistent with the Basic Series’ and other series’ being divided into black-key and white-key collections.139

Dramatic unification through the black-key, white-key collections is found in the Lied der Lulu in Act II, scene
1, mm. 491-535. In the Lied are five periods, each with an antecedent and consequent phrase. The consequent phrase is an inversion of the antecedent, reflecting the analogous structure of the verbal text.\textsuperscript{140}

Period 1 (mm. 491-494/495-497): "Wenn sich die Menschen um meinetwillen umgebracht haben, /so setzt das meinen Wert nicht herab". ("Although for my sake a man may kill himself or others, my value still remains what it was.")

Period 2 (mm. 498-502/503-507): "Du hast so gut gewusst, weswegen Du mich zur Frau nahmst, /wie ich gewusst habe, weswegen ich Dich zum Mann nahm." ("You know the reasons why you wanted to be my husband, and I know my reasons for hoping we should be married.")

Period 3 (mm. 508-511/512-515): "Du hattest Deine besten Freunde mit mir betrogen, /Du konntest nicht gut auch noch Dich selber mit mir betrügen." ("You let your dearest friends be deceived by what you made me, yet, you can't consider yourself caught in your own deception.")

Period 4 (mm. 516-518/519-521): "Wenn Du mir Deinen Lebensabend zum Opfer bringst, /so hast Du meine ganze Jugend dafür gehabt". ("Though you have given me your later and riper years, from me you've had my youth in flower as fair exchange.")

Period 5 (mm. 522-528/529-535): "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 have not asked in my life to appear in another colour than the one which I am known to have. Nor has any man in my life been led to look on me as other than what I am.")\textsuperscript{141}

The Basic Series at P-0, cf. ex. 10, makes up each phrase with inversions stated literally, except in Period 1 in which the inversion is the I-10 form.\textsuperscript{142}
Example 24. The Basic Series at I-10.\textsuperscript{143}

Thus, the drama is partitioned according to the black-key, white-key partitions.

The black-key, white-key chords of the Acrobat are important to the tonal structure of \textit{Lulu}. The final chord of the opera is the first three notes of Basic Cell II, example 25.

Example 25. The Basic Cell II.\textsuperscript{144}

This coincides in content with segment C of Countess Geschwitz's Trope, Cf. ex. 13, which coincides with the Acrobat's chords, Cf. ex. 9. Together with the Countess's final words, "Ich bin dir nah! Bleibe dir nah! in Ewigkeit" ("For I am near, I'm always near, For evermore") the bass line of ex. 26 appears.\textsuperscript{145}
Example 26. Alban Berg, Lulu, Act III, mm. 1321-1326.\textsuperscript{146}

This is a final statement of the main segment of Countess Geschwitz's Trope in its "home key" which, as an harmonic structure, concludes the opera.\textsuperscript{147}

George Perle contends that the first eight bars of the opera that precede the Circus Music are a prologue to the Prologue. Therefore, the first chord of the Circus Music, ex. 27, is, in a way, the initial chord of the opera proper.\textsuperscript{148}
This chord has many interrelations with musical and dramatic details of the opera. Several of these are found in the Acrobat's black-key, white-key chords. The initial chord is connected with Alwa by the triad at the beginning of the P-4 form of his series, the principal form used. Cf. ex. 11. The c-e-f component coincides with the first three notes of the principal form of the Basic Series, Cf. ex. 10. The a-f-e component is the same as the first three notes of the
associated inversional form of the Basic Series,\textsuperscript{149}, ex. 28.

Example 28. The Basic Series at I-9.\textsuperscript{150}

This same chord returns as the concluding chord of Act II, as the first chord of Act III, and as the penultimate chord of the opera. In each case, it represents Alwa as one of the three people – Dr. Schön, Alwa, and Countess Geschwitz – who are the "most profoundly and tragically affected by their love for Lulu."\textsuperscript{151} This chord, which has connections with the black-key, white-key chords of the Acrobat, has a dominant role in defining the tonal structure of the Prologue.\textsuperscript{152}

The vocal line in the initial statement of the Circus Music, mm. 9-16, is Alwa’s Series at P-9, example 29.

Example 29. Alwa’s Series at P-9.\textsuperscript{153}
When the Circus Music returns at the end of the Prologue, mm. 73-79, the Circus Music is at its original pitch level, but Alwa's Series is transposed to P-4, its primary form. This change to the P-4 form of Alwa's Series adds emphasis to the basic f-e-a-c chord, mentioned above, page 73, in the restatement of the Circus Music. It also associates Alwa's Series as closely as possible to the black-key, white-key tone-clusters marking the end of the Circus Music. 154

The black-key, white-key chords of the Acrobat allow for a melodic link between the end of the Circus Music in which the Animal Tamer is speaking of the audience, and the next section in which he begins to introduce the animals. Mm. 14-16 use the second hexachord of the P-9 form of the Basic Series. This is rearranged in the second hexachord of the I-6 form in mm. 16-17. P-4 ends with c-b-flat. The second hexachord of I-6 begins with c-b-flat. All of this is demonstrated in example 30. The Acrobat's Chords emphasize this melodic link 155 since c and b-flat are the top notes in the chords.

Example 30. Alban Berg, Lulu, Prologue, mm. 13-17.
Example 25 illustrates the Basic Cell II at its primary pitch-level. This transposition of Basic Cell II also serves as Segment C of the principal form, P-7 of Countess Geschwitz’s Trope, cf. ex. 13 and I-9, the principal form of Dr. Schön’s Series, cf. ex. 12. "It is thus significant as a component of the black-key white-key partitioning that plays such an important role in the harmonic language of the opera and that is most obviously and directly expressed in the Acrobat’s [piano] chords". This Basic Cell II, as a component of Dr. Schön’s Series and the Acrobat’s chords, adds dramatic unification to Act II, scene 1. It is used as the initial motive of Schön’s Arietta, "Das mein Lebensabend ("This the evening of my life")", m. 40. Later, when Schön suspects that an intruder is hiding, "Man ist ja seines Lebens nicht sicher" ("One isn’t sure of one’s life"), mm. 48-50, he draws a revolver, the same weapon which will kill him near the end of the scene. When he sings "Man ist ..." the same five notes are played as a chord, repeated in the "fate rhythm," cf. ex. 7, against recurring linear statements of the rest of the series in the bass. A variant of the same music begins Dr. Schön’s aria, mm. 380-386, as he searches for the Acrobat with his revolver in his hand. Later in the scene, when Lulu shoots Schön, a reference to the "Das mein Lebensabend" accompanies the pistol shots, mm. 553-555.
This Basic Cell II, found in the Acrobat's Chords, provides further dramatic unification between the conclusions of Act II, scene 1 and Act III, scene 1. It makes an appearance in Act II, m. 647, announcing the arrival of the police to apprehend the murderer of Dr. Schön. It reappears in Act III, m. 679 when Lulu warns Alwa of the imminent arrival of the police to arrest her for murder.¹⁶⁰

The Basic Cell II, Countess Geschwitz's Trope, and Dr. Schön's Series all are found in the Acrobat's Chords as has been stated earlier. Through Basic Cell II, the relationship between Dr. Schön and Countess Geschwitz is unified. It appears in Dr. Schön's Arietta, "Das mein Lebensabend." Countess Geschwitz makes her first appearance in the opera at the beginning of the same scene and makes her first exit at the introduction to Dr. Schön's Arietta. Later, as Dr. Schön is dying, Basic Cell II is heard as Countess Geschwitz unexpectedly emerges from the bedroom. She is the last thing he sees before he dies. At the end of the opera, when Countess Geschwitz dies at the hands of Dr. Schön's double, Jack the Ripper, Basic Cell II is again heard.¹⁶¹

In the closing moments of the opera, the drama becomes enveloped in Countess Geschwitz's undying love and sacrifice. In these final moments, Basic Cell II loses its distinction between being a component of the work as a whole, and that of being a part of Countess Geschwitz's
Trope. Countess Geschwitz becomes the work.

Mosco Carner says that a glissando on "white key" notes in the left hand and "black key" notes in the right hand is a favorite device of Berg's and is seen in Wozzeck, the Lyric Suite, and Lulu. As can be seen from the above, the distribution of the black keys and white keys on the piano also had vast influence on the melodic and harmonic structure of Lulu.

3. The Signal Motive

The piano's timbre serves as a dramatic unifier through its frequent use in the signal motive. George Perle calls a perfect fourth stated at the same transposition and represented by a special timbre and octave register the Signal Motive, example 31.

Example 31. The Signal Motive

Its most literal significance is that of a doorbell. Perle cites eight places where it is used this way. The piano
appears in one of these, Act I, scene 2, m. 948, when the
time police enter.

In the second half of the opera, the signal motive
loses its literal signification, and "becomes a Leitmotiv of
reminiscence". For this, Perle cites three examples.
The piano is used in two of these. Dramatically, what takes
place at each one of these is the following: Act II, scene
2, m. 1015 - Lulu is alone with Alwa in the apartment
she
had shared with his father; and Act II, scene 2, mm. 1144-
1147 - Lulu's words concluding the act are, "Ist das noch
der Divan, auf dem sich Dein Vater verblutet hat?" ("Isn't
that the same sofa on which your father bled to death?").

At other times, the meaning of the Leitmotiv is "shift-
ed through association or metaphor." For this, Perle
cites fifteen examples. The piano is used in ten of them.
Those in which the piano are used occur at the following
parts of the drama: Act I, scene 1, mm. 125-126 - Alwa says
to Lulu "Mich ruft leider die Pflicht, gnädige Frau." ("Un-
fortunately, duty calls me, Madam.") as he is about to leave
the Painter's studio with his father; Act I, scene 3, m.
1233 - Lulu makes a reference to the stagebell; Act I, scene
3, m. 1258 - Dr. Schön makes a reference to the stagebell;
Act II, scene 1, mm. 33-34 - Countess Geschwitz rises to
leave; Act III, scene 1, mm 367-382 - the Groom admits Schi-
golch; Act III, scene 1, mm. 652-658; 665-668 and 676 - the
guests depart after learning of their financial ruin; Act III, scene 1, m. 691 - the Marquis discovers that it is the Groom, and not Lulu, whom the plainclothes police officer is about to seize; Act III, scene 2, mm. 1275-1277 - Jack follows Lulu into her room and bars the door from the inside.

In further discussion of the Signal Motive, George Perle states:

Since the Signal Motive is fixed in pitch and recurs at formally strategic and dramatically crucial moments, it acquires a referential function in terms of its absolute pitch-class content...The a-flat - d-flat of the Signal Motive does not establish the basic "tonality" of the work as a whole, but it is the prevailing, recurrent tone-center. It marks the turning point of the drama, the period of Lulu’s imprisonment that separates the two Wedekind plays, punctuated by a fermata at the midpoint of the Film Music... 167

The music at the mid-point of the Film Music and the entire opera was seen earlier in ex. 5. Piano is the only instrument that is doing anything other than sustaining a tie. Perle continues his discussion of the a-flat - d-flat of the Signal Motive. It is a part of the Basic Cell IV (Cf. ex. 6) and "...it determines the pitch level of the principal Leitsektion of the opera, the music that represents the indissoluble tie that binds Lulu and Dr. Schön." 168 The example that he cites is Act I, mm. 956-960. Piano is again a part of this timbre. In the following example, mm. 958-960 are those of the Leitsektion for which the Signal
Motive, mm. 956-957, determines the pitch level. This Leitsektion is a recapitulation of Act I, mm. 615-624 and is also found in Act III, mm. 1235-1261. In all of these sections, the basses and cellos have the pitches a-flat and d-flat. The dissonant e in the violin in m. 958, is treated as an appogiatura which resolves to a consonant f in the same measure. The dissonant a in m. 959 in the cello could be viewed as an accented passing note going from a-flat to b-flat. Further understanding of these dissonances comes from knowing that both Perle and Jarman feel that the tonality of this Leitsektion is that of D-flat.169
Example 32. Alban Berg, Lulu, Act I, mm. 956-960.

In looking at the above, one sees that the timbre of the piano is used frequently as part of the signal motive. It is used in only one of eight places where the signal
motive literally represents a doorbell. When the signal motive's meaning shifts to "a Leitmotiv of reminiscence", the piano is used two out of the three times, and when the meaning of the Leitmotiv is "shifted through association or metaphor" the piano is used ten out of the fifteen times. This all adds weight to the argument that the piano is important to the dramatic unification of Lulu.

F. MINOR DRAMATIC USES OF THE PIANO

Sometimes the singers are directed to do some motion at the time when they hear the piano. A few examples of this are found in Act I, scene 3, mm. 1342 and 1346 for Lulu and Act III, scene 1, m. 242 for the Banker. Both of the gestures with the piano for Lulu occur at highly dramatic points. She is finishing dictating Dr. Schön's letter for him to write to his fiancée, saying she (his fiancée) is to forget him because he is capitulating to Lulu. The first gesture occurs before Lulu dictates for him to sign his name, "Doktor Ludwig Schön." He says, "O Gott!" She says, "Ja, kein: O Gott!" ("Don't say Oh God!"). Then she gestures again with the piano before saying again with emphasis, "Doktor Ludwig Schön." The gesture with the piano for the Banker comes at a less dramatically important place. The party is taking place in the third act and the Acrobat has just informed the Banker that the Countess has just
staked all the cash that's left to her on Jungfrau Railway. The Banker gestures with the Acrobat's chords on the piano when he sings the words, "Ihr letztes Hemd?" ("That's left to her?").

The piano appears at another highly dramatic part of the opera. Toward the end of Act II, scene 1, Lulu shoots Dr. Schön in the back five times. The piano's percussive qualities are used to reinforce each gunshot. This occurs in mm. 553-555.

G. CONCLUSION

Piano was an important element of Berg's life. He was introduced to Impressionism through Smaragda's playing impressionistic music for him on it. His first compositions involved it in the songs he wrote for his brother to sing to his sister's accompaniment. It was the instrument on which he performed.

Form is important to Berg in all of his works. It is also found to be important in Lulu. In Act I, the major form of the act, Sonata-Allegro, represents Dr. Schön's attempts and failure to free himself of Lulu. The Rondo of Act II signifies Alwa's overwhelming attachment to Lulu. The Theme and Variations portrays Lulu's decline to a streetwalker.
In the examination of technical aspects of Berg's writing, one finds that he is an excellent orchestrator and uses the piano in the ways that all good orchestrators do. He uses its percussive quality to impart incisiveness to woodwinds, brass, strings, harp, and percussion in all registers. He also lets it lend security to the singers at times. It is found that the vocabulary characteristic of his other compositions, is also characteristic of Lulu.

There are many autobiographical elements in Lulu. The fact that Berg's instrument was the piano is reflected in Lulu through the interrelations of the Animal Tamer (who some feel is really Berg in disguise), Alwa who more obviously represents Berg, and the Acrobat who is so strongly represented by the piano. Other autobiographical elements include the asthmatic breathing of Schigolch, the strong correlation between Dr. Schön's name and his importance to Lulu and Schoenberg's name and his significance to Berg, and the symbolism of the pitches b-natural and f.

The piano is found to be very important to the dramatic unification of Lulu. The timbre of the piano is frequently heard at cadence points and sectional divisions. The simple configuration of the black-keys and white-keys on the keyboard is seen to have a strong influence on the basic harmonic structure of the opera and on the main characters' most used row forms. The Signal Motive, which has various
kinds of dramatic significance, very often has the timbre of the piano included.

The piano is sometimes used less noticeably for dramatic purposes. Once it is used to reinforce gun shots when Lulu shoots Dr. Schön. A few other times it is used as a cue for singers to make certain gestures.

Awareness of the importance of the piano in Lulu is of value to anyone performing this opera. The more one knows about the work one is performing, the more depth there will be in the performance. This knowledge is most valuable to the conductor and the pianist. The conductor can more accurately decide about balance and the pianist will enjoy his role more just by knowing how important his instrument was in forming the structure of this great opera, Lulu.
APPENDIX
LIBRETTO SYNOPSIS OF LULU
Prologue. The Animal Tamer calls to the audience to see his side show of animals. The last animal brought out is the main attraction, the snake, who is Lulu.

Act I, scene 1. Lulu, who is a dancer, was a deserted child taken in from the street and raised by Dr. Schön. The Painter is painting her portrait, for which she is dressed as Pierrot. The portrait is present in every scene of the opera, and is a symbol of Lulu's attractiveness. Schön introduces her to his son, Alwa, before he and Alwa leave. Lulu sarcastically tells Dr. Schön to give her best to his fiancée. After they have left, the Painter begins to seduce Lulu, but she flirtatiously resists. The arrival of Lulu's husband, the Medical Specialist, interrupts them. He is outraged, has a heart attack, and dies. While the Painter is getting a doctor, Lulu, rather than grieving, wonders what the future holds for her. The Painter, appalled at her detachment, asks her what her beliefs are. To each question, her reply is, "I don't know." While she leaves to change her clothes, the Painter enviously addresses the Medical Specialist.

Scene 2. The Painter, now Lulu's husband, is doing very well due to commissions initiated by Dr. Schön. While at home one morning, Lulu reads to her husband the announcement of Schön's engagement. Shortly after the Painter leaves for work, Schigolch, an asthmatic old man she knew
during her days in the street, arrives. She gives him some money. He leaves and Dr. Schön soon enters. He tells her they must stop seeing each other. Lulu says that if she belongs to anyone, it is to Dr. Schön. He becomes adamant. The Painter, overhearing this, comes in from the studio. Lulu leaves, and Dr. Schön tells the Painter of his, Schön’s, and Lulu’s affair. The Painter leaves, and in an adjoining room, slits his own throat. Alwa arrives, and together with Schön, breaks down the door. Schön telephones the police. In the chaos, Lulu coolly tells Schön that in the end he will marry her.

Scene 3. Lulu is in her theater dressing room, having a drink with Alwa before going onstage. During her act, a Prince, smitten with Lulu, joins Alwa. The Prince wants to take her to Africa. Lulu rushes in, followed closely by the theater manager and Dr. Schön. Lulu, enraged at seeing Schön with his fiancée in the audience, has walked out on her act. Alwa asks the manager to put on another number to allow Lulu time to calm down. He then leaves her alone with his father. Schön chastises Lulu. She questions his hesitancy in getting married to the society girl. She asks him if it isn’t his love for Lulu that’s stopping him. Defeated, he begs for Lulu’s command. She dictates a letter to his fiancée in which he renounces his vow to marry her.
Act II, scene 1. Schön and Lulu have married. In their living room, the lesbian, Countess Geschwitz, admires Lulu. After the Countess leaves, Schön sings "Das mein Lebensabend" which decries his shame and disgust at his miserable life. Going crazy, he gets a gun and looks behind the drapes for eavesdroppers. He starts to leave for work, the stock exchange, but Lulu draws him into the bedroom. At this time, several of Lulu's admirers file in: Schigolch, the Acrobat, and the Schoolboy. The Countess returns and hides. The Schoolboy and the boastful Acrobat argue. The Schoolboy then reads a poem he has written for Lulu. Soon, Lulu returns and says she is expecting someone. Each admirer complains that he cannot marry her. They also guess at who her father is. The Servant, who can barely control his own feelings for Lulu, announces the arrival of Alwa. All present, except for Lulu, hide. Lulu, sensing that Alwa's desire is about to exceed the bounds of a brother-sister relationship, flirts with Alwa. Aghast, Schön interrupts and leads Alwa away. Schön gives his gun to Lulu and tells her to kill herself. Instead, she points the gun at him and sings, "Wenn sich die Menschen" in which she basically says she can't help it if all these people fall in love with her - she's just Lulu and has never tried to be anything else. The Schoolboy bursts out of hiding and in the confusion, Lulu shoots Schön in the back. Alwa comforts
the dying Schōn. Schōn asks for water. Lulu, dazed, brings champagne. Schōn dies, and Lulu promises to love Alwa if he will prevent her from being arrested.

There is transitional music, with a film strip, which depicts Lulu’s arrest and imprisonment. Countess Geschwitz devises a plan in which she will infect herself with cholera, which Lulu had contracted in prison, visit Lulu, and exchange places with her in the infirmary, thus enabling Lulu to escape.

Scene 2. In Schōn’s living room, Alwa, the Acrobat, and the Schoolboy anticipate Lulu’s return. Schigolch arrives to take the ailing Countess to the prison. When Lulu returns with him, the Acrobat sees how sickly she is and gives up his plan to train her as his partner. He is angry, and leaves, threatening to tell the police about her escape. Schigolch goes to get train tickets for Lulu’s and Alwa’s escape from the country. Lulu rejoices at being free and she and Alwa make love on the sofa. Lulu points out to Alwa that this is the very sofa on which his father had bled to death.

Act III, scene 1. Lulu and Alwa are having a party at their home in Paris. The guests pass the time by gambling and discussing the stock-market. By now, the German police have discovered Lulu’s escape. Both the Acrobat and a Marquis,
who would like to sell her to a brothel in Cairo, are blackmailing Lulu. News comes that Jungfrau Railway stock, which most of the guests have bought, has crashed. Amid the general confusion, Lulu exchanges clothes with a young Groom, and escapes.

Scene 2. Lulu is now in London, where she shares a garret with Schigolch and Alwa. Lulu is reduced to making a living by being a prostitute. Countess Geschwitz has doggedly followed her to London. After Lulu's second client kills Alwa, her third client - who happens to be Jack the Ripper - enters. He and Lulu disappear into the other room. Countess Geschwitz vows to go home, become a lawyer, and fight for women's rights. A death scream comes from Lulu's room. Jack has killed Lulu. As he leaves, he also kills Countess Geschwitz, whose dying words are of Lulu.\textsuperscript{170}
FOOTNOTES


32. Carner, *op. cit.*, 68.


40. Ibid., 176.
42. Ibid., 176.
43. Ibid., 177.
44. Ibid., 182.
45. Perle, N.G., op. cit., 527.
46. Ibid., 527.
47. Perle, Operas, op. cit., 68.
52. Perle, N.G., op. cit., 533.
53. Ibid., 536.


86. *Berg-Schoenberg Correspondence*, *op. cit.*, 420, 452.


92. *Berg-Schoenberg Correspondence*, *op. cit.*, 382-391.


95. Dr. William Denza, conversation, Aug. 16, 1989.


100. *Ibid.*, 75.
101. Ibid., 83.
102. Ibid., 83.
103. Ibid., 75.
106. Ibid., 75.
107. Ibid., 76.
108. Ibid., 76.
109. Ibid., 70.
110. Ibid., 76.
111. Ibid., 76.
112. Ibid., 76.
113. Ibid., 76.
114. Ibid., 101.
115. Ibid., 94.
116. Ibid., 95.
117. Ibid., 97.
118. Ibid., 99.
119. George Perle, Serial Composition and Atonality (Univ. of California Press, 1963), 5.
120. Perle, Operas, op. cit., 115.
121. Ibid, 116.
123. Ibid., 89.
124. Ibid., 235.
125. Ibid., 88-89.
128. Ibid., 90.
130. Ibid., 101-102.
131. Ibid., 101.
132. Ibid., 183-184.
133. Ibid., 116.
134. Ibid., 102-103.
135. Ibid., 115.
136. Ibid., 116.
137. Ibid., 116-117.
138. Ibid., 116-118.
139. Ibid., 141-142.
140. Ibid., 175.
142. Perle, Operas, op. cit., 175.
143. Ibid., 176,
144. Ibid., 99.
145. Ibid., 190.
146. Ibid., 192.
147. Ibid., 190.
148. Ibid., 145.
149. Ibid., 146.
150. Ibid., 94.
151. Ibid., 146.
152. Ibid., 192.
153. Ibid., 96.
154. Ibid., 192.
155. Ibid., 201.
156. Ibid., 170.
157. Ibid., 100, for the translation of "Das mein Lebens-
    abend"
158. Ibid., 170.
159. Ibid., 179.
160. Ibid., 179-80.
162. Ibid., 222.
163. Carner, op. cit., 86.
165. Ibid., 92.
166. Ibid., 92.
167. Ibid., 93.
168. Ibid., 93.
169. Ibid., 131-133.

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