

**THE UNIVERSITY OF HULL**

Berg's response to swing in jazz:  
the composer's use of  
rhythm, texture and timbre in this context

being a Thesis submitted for the Degree of  
Doctor of Philosophy  
in the University of Hull

by

Ian Bamford-Milroy, B.A. (Mus.)

August 2007

*For my wife Pat,  
and grandsons  
Joshua and Noah*

[remove page number]







Charly Gaudriot, Austrian bandleader in the 1920s and 30s and probably the only jazz musician on record as having engaged with Berg on an ordinary working level; see p.5 above; picture [www.vintagepostcards.com/catalog/i/i9577.jpg](http://www.vintagepostcards.com/catalog/i/i9577.jpg) (accessed 28/11/01)



---

– **ABSTRACT** –

This thesis strongly queries the idea of classical music and jazz as most associable through the idea of ‘syncopation’. Certainly, along with elements of instrumental timbre, that aspect has established a relationship, but only superficially. In the 1920s, the crucial dependence of jazz on a lilting manner of enunciation remained obscured by a high average tempo. With the lowering of tempo in the 1930s, however, the 2:1 lilting of ‘swing’ came to the fore, and, in providing a basis for the strongest international showing by jazz musicians, showed that a view of jazz based on syncopation had lost any deeper form of relevance. This development also exposed the extent to which classical music had marginalized that manner of enunciation since the eighteenth century, and to which jazz had attracted racist views by cultivating a rhythmic type viewed as morally base.

This affective vacuum drew in the composer Alban Berg, as whether deliberately or not a mediator for cultural sensitivities. In particular, Berg’s return to legato forms of polyrhythm in the 1930s came about charged with meaning, not least for a composer in the German tradition. Since classical composers could no longer use swing-like effects overtly for serious purposes, The unfashionable, indeed the transformed return by this composer to legato polyrhythm while introducing the saxophone to works as an obbligato, stands increasingly open to consideration as a form of response by him to 2:1 scansion in jazz, by creating a ‘hobbled swing’ kind of effect. The use of polyrhythmic textures and of crotchet-quaver patterns under a triplet bracket, especially in Berg’s second opera, *Lulu* and in his Violin Concerto, reveals an extremely unusual approach that heightens the idea of a response to swing in jazz and even points to awareness on the composer’s part.



---

**– TABLE OF CONTENTS –**

ABSTRACT	iv
CONTENTS	v
ACKNOWLEDGEMENTS	ix
GLOSSARY	xi
<b>INTRODUCTION</b>	<b>xii</b>
Endnotes for Introduction	xv
<b>CHAPTER ONE – BERG AND THE ADVENT OF JAZZ</b>	<b>1</b>
1.1 The extent of Berg’s exposure to jazz	3
1.2 The significance of jazz for Berg as a member of German society	8
1.2.1 The German response to jazz as a European phenomenon	10
1.2.1.1 The attitude to jazz of Schoenberg as Berg’s mentor	16
1.3 Endnotes for Chapter One	23
<b>CHAPTER TWO – BERG’S ATTITUDE AND APPROACH TO JAZZ</b>	<b>29</b>
2.1 Obvious responses to jazz by Berg as a composer	35
2.1.1 Debt to jazz in Berg’s music on the basis of tonality	38
2.1.2 Debt to jazz in Berg’s music on the basis of instrumental timbre	44
2.1.3 Debt to jazz in Berg’s music on the basis of rhythm	51
2.1.3.1 The syncopation in Stravinsky’s music as an easily-regarded benchmark of jazz-similitude	57
2.1.3.2 Debt to jazz in Berg’s music on the basis of syncopation	62
2.1.3.3 The inadequacy of a perspective on jazz rhythm based solely on syncopation	73
2.2 Endnotes for Chapter Two	76

---

<b>CHAPTER THREE – THE POSSIBILITY OF A RESPONSE BY BERG TO SWING</b>	84
3.1 Berg’s use of triple time – an obstacle	88
3.2 Berg’s use of tripletized crotchet-quaver patterns	96
3.2.1 The obstacle of 2:1 parody	99
3.2.1.1 Dotted rhythms in Berg’s music as a cipher of jazz-similitude	108
3.2.1.2 The obstacle apparently immitigable	114
3.2.2 A tripletized crotchet-quaver shape in <i>Der Wein</i> – the possibility of a jazz-related quotation	115
3.2.3 Tripletized crotchet-quaver patterns in Berg’s works after <i>Der Wein</i>	121
3.2.3.1 A signal use of tripletized crotchet-quaver patterns in the Violin Concerto	126
3.2.4 Tripletized crotchet-quaver patterns as subject by Berg to polyrhythmic assimilation	130
3.3 Endnotes for Chapter Three	133
<b>CHAPTER FOUR – BERG’S SWING-RELATABLE USE OF LEGATO POLYRHYTHM</b>	
4.1 Polyrythm perceived as ‘irrational’	140
4.2 Polyrythm perceived as ‘rational’	147
4.3 The exceptional nature of Berg’s stylistic position	150
4.4 Berg’s swing-relatable use of polyrythm in <i>Lulu</i>	153
4.4.1 First coalesced phase, characterizing <i>Lulu</i> , Act Two, Scene 1	163
4.4.1.1 ‘Prelude’ to the core swing-relatable interest in <i>Lulu</i> , Act Two, Scene 1	168
4.4.1.2 The core swing-relatable interest in <i>Lulu</i> , Act Two, Scene 1	174
4.4.1.3 ‘Postlude to the core swing-relatable interest in <i>Lulu</i> , Act Two, Scene 1	180

4.4.1.4 The ‘Lied der Lulu’	182
4.4.2 Second coalesced phase, characterizing <i>Lulu</i> , Act Two, Scene 2	183
4.4.2.1 Reprise and reinvestment of material from the first coalesced phase	186
4.4.2.2 Alwa’s ‘Hymne’	189
4.4.3 Auxiliaries in <i>Lulu</i> , with Act Three as an aftermath	193
4.4.4 A general verdict on Berg’s use of polyrhythm in <i>Lulu</i>	198
4.5 Berg’s swing-relatable use of polyrhythm in the Violin Concerto	201
4.5.1 Further issues of rhythmic interconnection	207
4.5.2 A general verdict of Berg’s use of polyrhythm in the Violin Concerto	216
4.6 Endnotes for Chapter Four	217
<b>CHAPTER FIVE – THE EVOLUTION OF BERG’S ‘STYLE OF SECOND SENUOUSNESS’</b>	235
5.1 The use of legato polyrhythm in the works of Berg’s ‘first style’	238
5.1.2 The Chamber Concerto as a stylistic interregnum	254
5.2 The use of legato polyrhythm in the works of Berg’s ‘second style’	256
5.3 The distinctiveness of Berg’s ‘second style’ corroborated by swing-relatable responses in performance	263
5.4 Endnotes for Chapter Five	276
<b>CHAPTER SIX – BERG’S SWING-RELATABLE EFFECT ON THE IMAGINARY COGNITIVE FACULTIES</b>	286
6.1 Imaginary lilting precipitation in <i>Der Wein</i>	294
6.2 Use of the broad 1:2:1 ratio in <i>Lulu</i> and the Violin Concerto	300
6.3 Endnotes for Chapter Six	314



---

<b>CHAPTER SEVEN – BERG’S AESTHETIC ROLE IN THE POST-SWING ERA</b>	321
7.1 The swing-relatable aspects of Berg’s music collated as a mediating syntax	330
7.2 Endnotes for Chapter Seven	333
<b>CONCLUSION</b>	340
<b>APPENDIX (A) – LILTINGLY ASSOCIABLE ELEMENTS IN WORKS COMPOSED BY BERG UNDER THE POSSIBILITY OF AN IMPINGEMENT BY ‘2:1’ SWING IN JAZZ</b>	342
<b>APPENDIX (B) – LILTINGLY ASSOCIABLE ELEMENTS IN WORKS COMPOSED BY BERG PRIOR TO A POSSIBILITY OF IMPINGEMENT ‘2:1’ SWING IN JAZZ</b>	350
<b>APPENDIX (C) – PRIMAL METRICAL TENDENCIES IN BERG’S MAIN WORKS</b>	356
<b>APPENDIX (D) – MICRO-TEMPORAL MEASUREMENT TECHNIQUE AND PROCESSING</b>	357
BIBLIOGRAPHY	360
LIST OF MUSICAL SCORES	377
AUDIO SOURCES	382
VISUAL SOURCES	385

---

## – ACKNOWLEDGEMENTS –

My debt to the wit, fortitude and intelligence of Dr. Catherine Dale – most lamentably deceased since Christmas 2005 – finds expression in this work. The nod by which she showed appreciation of the nuances conveyed in the tables of chronometric data that I brought to my original interview remains unforgettable. I could not have wished for a supervisor with more respect for the subject. I would also like to thank Dr. Alastair Borthwick, my second supervisor, who has always conveyed a feeling of gentle, discriminating reserve from the wings. Such collateral counts for much in serious academic projects. Dr. Graham Sadler has shown me kindness; he provided support, too, from the ‘French’ side of the department for my feelings about the Gallic roots of swing. I must also thank Dr. Elaine King and Dr. Lee Tsang for various forms of help. From the world at large, I have to thank Mr Dan Morgenstern, the editor in the fifties and sixties of *Downbeat* jazz magazine in America. As son of the author Soma Morgenstern, he grew acquainted as a child while in Austria with the composer Alban Berg, and features in his father’s memoirs on that account. Mr. Dan Morgenstern very kindly responded to an e-mail enquiry of mine, with an element of recollection that I have used in this thesis at one point. Although I have encountered several people in my travels who knew Helene Berg, the composer’s widow, Mr. Morgenstern’s reply stands as the only form of contact with someone acquainted with Alban Berg directly.

My thanks to my wife Pat knows no bounds; without her constant willingness to stem the difficulties legion with my state of physical incapacity, I could not have sustained an in-depth approach to this project. Pat’s help with my library requirements, and very naturally with my continuing sense of practical equilibrium, will ever go remembered. As regards this summary of the various, indeed the disparate reasons for my feelings

of gratitude, I conclude by acknowledging smaller acts of assistance that also have arisen: in my earlier days of travel, by Dr. Rosemary Hilmar of the *Österreichische Nationalbibliothek*, Vienna, and by Dr. Regina Busch, Frau Renate Adamiak and Herr Richard Kramer of the *Alban Berg Stiftung* in Vienna and Carinthia; prior to the commencement of my studies, by Professor David Blake of York; as subsequent fertilizing input, by Professor Christopher Hasty of Harvard; and helpfully, otherwise, by Lydia Butler, assistant for disability at the British Library, by staff in the Brynmor Jones Library, by Graham Foot at audio-visual, and by Pam Waddington-Muse and her secretarial assistants, and the many other souls at work in the department at Hull.

I.B.-M.  
Spilsby, Lincs. UK  
August 2007



---

## – GLOSSARY –

Conventions for the purpose of musical reference:

- With references to segments used in musical examples, incomplete bars appear in brackets; thus ‘bars 73-(79)’
- Anacrusis bars that commence a whole movement appear as ‘bar (0)’; thus ‘bars (0)-6’.
- Musical example references in the main text appear in the first instance as underlined; thereafter as not underlined.
- The sign ----▶ added in an example indicates parts omitted as irrelevant.

Abbreviations for the purpose of literary reference:

- NG1 – refers to *The New Grove dictionary of music and musicians*, first edition (1980).
- NG2 – refers to *The New Grove dictionary of music and musicians*, second edition (2001).
- NGDJ1 – refers to *The New Grove dictionary of jazz*, first edition (1988).
- NGDJ2 – refers to *The New grove dictionary of jazz*, second edition (2002).
- NEB, 15<sup>th</sup> edit. – refers to *The New Encyclopaedia Britannica*, 15<sup>th</sup> Edition (2002).

## – INTRODUCTION –

Although classical musicians have shown much interest in jazz since 1919, when Ernest Ansermet praised the skills of Sidney Bechet,<sup>1</sup> a feeling arises on reflection that at a deeper level of practical understanding the two genres do not accord well. As regards one aspect, the improvisational quality vital to jazz if only as a minimal signal conflicts with the kinds of music acceptable in conservative classical circles, while not matching syntactic expectations arising with the search for impromptu developments in the sphere of the avant-garde.<sup>2</sup> As regards another aspect, one of great importance in establishing a classical-jazz rapport in the first place, the syncopations employed by composers after World War One, to mediate the exotic sense of difference heightened by encounters with the genre, do not stand the test of time other than as a token form of response; hence only embarrassment would result from asking however reasonably

### EXAMPLE Intro.1

Messiaen, *Turangalîla-symphonie* [1946-48], Tenth movement ('Final'), bars 1-9

Modéré, presque vif, avec un grande joie (♩ = 116)

Ww./strs.

*ff*

sounds very similar to:

(flattened 3rd. & 7th. in F# major as 'blue notes')

whether, as suggested in Example Intro.1, ragtime-like cross-accents in Messiaen's *Turangalîla-symphonie* mark a debt to jazz as well as to Greek and Hindu traditions,<sup>3</sup> although this composer owes much to the violent, syncopated element in the music of Stravinsky, as one who, on occasion, did not hesitate to declare a link with the genre.<sup>4</sup>

In asking if the music of Berg evinces any sign of response to jazz, however, the odd sense of unease in this area of comparison ebbs away; for the process of revealing the possible extent of such a connection, over and above the occasional pointed references to that genre in the composer's later works, constitutes a process of showing more clearly the extent to which – as shown by the stiltedness of Gershwin's *Rhapsody in Blue* – the deep incompatibility of 'straight' rhythm with 'swing' debars jazz from classical circles, *in toto*. Although people have long realized the nature of swing as a 'long-short' form of enunciation, the anthropologically biased impulses that intrude on this area of scholarship have hindered the development of any view of this form of rhythm that tries to account for the sense of flexible metrical interaction that even inferior forms of 'jazz' conjure up.<sup>5</sup> In taking a more constituted kind of look at the issue of swing and of textural complexity, therefore, the discovery in Berg's practices of a marked area of convergence and overlap with the jazz-related music of his time serves to explain the mystery – sometimes obviously a cultivated one – that consigns a music so very popular prior to the rise of rock and roll to a zone of marginalization.

If the investigative process takes a little time and patience, so as to remove the overlay of precepts generated by the association of jazz with Stravinsky, as a composer who figured at least in the days of early jazz as in effect a kind of 'classical ambassador to jazz',<sup>6</sup> then the rewards flow richly as a source of insights that concern both the nature of popular music as emerging from the start of the twentieth century, and Berg as a composer whose subtleties of textural invention gave rise to this project; naturally the appreciation of his music gains much enrichment in the extent to which a certain, mysterious 'subtlety' attaching to a particular style approach emerges as completely and empirically sensible. In which case, the possibility of a response by Berg to swing



in jazz remains ever the main issue, as an anchor to the process of choosing aspects of his music as regards rhythm, texture and instrumental timbre that count as a species of similitude. This study takes as axiomatic the idea that to study similitude without first asking about the possibility of debt might undermine the ability to draw crucial forms of distinction over the works that Berg composed after the advent of jazz, as against works that – to some extent in a similar vein – he wrote prior to that time. Quite simply, to stick to the idea of response to swing provides the balance of motivation in the study of Berg’s pre-jazz music that otherwise could well prove difficult to sustain.

Accordingly, the inquiry passes through three main stages: firstly, an opening up from the start of the dissertation to the end of Chapter Three of the whole concept of jazz rhythm as founded on 2:1 ‘swing’; secondly, an investigation in Chapter Four that shows Berg’s second opera, *Lulu* as central to the composer’s assimilative and swing-relatable use of legato forms of polyrhythm, and his Violin Concerto, although more modest, as also deeply; thirdly and lastly, an investigation from Chapter Five to the end that strengthens the argument through comparisons with other composers contemporary to Berg, with his use of polyrhythm prior to the textural fall-off after *Wozzeck*, and through the discovery of other forms by which the composer’s music can stand appraisal as ‘swing-relatable’ In these investigations, Berg’s introduction of the saxophone in every work from *Der Wein* stands as a powerful means of stylistic discrimination. In combination with biographical, documentary aspects, the details concerned point to a response to swing on his part, at time a partly aware one, and at the same time provide a demonstration of his stylistic uniqueness, especially for the ‘jazz age’ period. In consequence, a strong cultural and ethical dimension takes shape.

**Endnotes for Introduction**

- (1) See Ernest Ansermet (1919), trans. under the heading ‘A ‘serious’ musician takes jazz seriously’, *Keeping time: readings in jazz history*, ed. Robert Walser, p.11
- (2) See the views of Karlheinz Stockhausen (1971), cited in Robert Maconie, *The music of Stockhausen* (London, 1976), p.244.
- (3) See Robert Sherlaw-Johnson, *Messiaen* (London, 1975, 2<sup>nd</sup>. Edit. 1989), p.32.
- (4) See, for example, Igor Stravinsky, trans. *Igor Stravinsky: an autobiography* (London, 1936, reprinted New York, 1962), pp.77-8; also see Mervyn Cooke, ‘Jazz among the classics, and the case of Duke Ellington’, *The Cambridge companion to jazz*, ed. Mervyn Cooke & David Horn, p.160.
- (5) Consider Charles M. Keil’s frustration with the ideas of Leonard B. Meyer, for example, as expressed in ‘Motion and feeling through music’, *Journal of Aesthetics and Art Criticism*, 1966, No. 24, pp.337-49; see especially pp.340-3, 347-8.
- (6) See, for example, Pete Faint, ‘Jack Hylton vs. Igor Stravinsky’, *The Jack Hylton official homepage*, ed. Pete Faint [Online].

## – CHAPTER ONE – BERG AND THE ADVENT OF JAZZ

The fact that the Austrian Alban Berg developed after birth in 1885 through childhood under a Habsburg dynasty in which the Viennese waltz prevailed, received training as a composer after the turn of the century when ragtime had reached Europe in the form of sheet music and mechanical piano rolls, and acquired fame during the rapid spread by gramophone records of a novel vernacular style called ‘jazz’ raises a very marked question about the influence that American popular music may have exercised on his music. Especially given the extent to which use of the term ‘jazz’ has altered since the introduction in 1917 of commercial generic recordings in and from America, however, to envisage a scenario of consequence as regards an encounter by Berg with this music calls for reflection. The composer’s Violin Concerto of 1935 would seem, as the last work completed by him prior to an untimely death that year, to coincide with the halfway point along a line of development in jazz, linking the sophisticated present-day conception of that genre with one dependent – at any rate as would have very frequently pertained – on crude, variably available forms of recording. In view of the historical obliqueness of this particular connection, therefore, interest should first of all centre on the kind of ‘jazz’ that Berg as a musical person may have encountered

In *Popular Music of the Twenties*,<sup>1</sup> a digest of developments covering the period over which Europeans first grew aware of jazz-related music, the following point emerges:

Very few people of the 1920s realised that the essence of jazz was improvisation, or that the metronomic beat of a dance band was not the same as the driving rhythm of the jazz drummer. These arcane secrets were kept hidden from most of the band leaders, shackled by convention to arrangements and the demands of dancers.<sup>2</sup>



Despite the way in which this passage reflects a view of jazz that by 1976 had become canonical, and raises the question as to whether in the twenties even the originators of jazz would have described the music in terms of such artistry,<sup>3</sup> the author successfully accounts for a time when, as an emotional release after the end of the Great War, the libertine associations of 'jazz' drew a vast amount of music under that stylistic rubric that no purist today would deign to acknowledge. Given that the modern conception of 'jazz' had not emerged by the time of Berg's first awareness, nor even by the time of his death, the integrity of any full account of such debt needs a more inclusive use of that term. In this context 'jazz' refers more to dance music resembling jazz than to sources now viewed as genuine. Characterization by a species of rhythm, timbre, and harmony represents the content of the styles of jazz that Berg would have recognized.

To link Berg so significantly to jazz draws attention to the idea of influence – viewed in this context as the positive consequence of affinities – as a possible difficulty. If not regarded cautiously, the presumption of a causal aspect may give rise to failure in distinguishing influence by jazz from resemblances in his music occurring for other reasons; yet reciprocally, the possibility of unconscious or semi-conscious levels of response by a composer permits the idea of influence by subtleties that might escape notice. As Derrick Puffett remarks in an account of this composer's debt to Mahler:

...the topic of influence in music has come to assume considerable complexity in itself – to the point where it is hardly possible to undertake a comparative study...without involving the reader in a weighty theoretical superstructure.<sup>4</sup>

A radical proposition of response to jazz by Berg, seldom entertained by scholars but appealingly open to view, may accordingly lead to unfounded assumptions even when attempting to take account of a chronology of events. The synchronous aspect of 'coincidence' may substitute for real indebtedness, and the prospect of discovering no

link at all ever seems to remain. Since influence depends on antecedence, elements of stylistic connection and resemblance may on occasion call for scrupulous analytical care. A study of the influence by X on Y can only proceed on sufficiently, and hence perhaps with difficulty, establishing X as a prior fact to Y. Above all on investigating areas not inconsiderably glamorous in social aspect, the anticipation of discovery can easily create a danger of imprecision with regard to whether X preceded Y or vice versa, or overlapped with the rise of Y or vice versa, or encompassed Y or vice versa.

The historical relation cruelly underlying the linkage of stylistic fact to fact may thus give rise to varieties of confusion that, *vis à vis* the present topic, relate to three main issues. First: whether the occurrence of certain characteristics in jazz – as a genre that emerged on the international scene in 1917 – preceded Berg’s death, and with any degree of certainty reached his ears. Second: whether in score or in performance his music exhibits a form of similitude to jazz, appreciable according to some criterion or other. Third: whether Berg emerges with any probability in this context as having responded to such input, perhaps on a level that remained unconscious. Given a need to examine a range of jazz-related music available for Berg’s attention, but that from a historical and documentary perspective his life overlapped in a rather tenuous manner with the rise of that genre, this issue constitutes a source of difficulty. For example, similarities to jazz in Berg’s music arising from quartal harmony may well point to the composer’s influence on jazz, not at all to his response to American antecedents.<sup>5</sup>

### **1.1 The extent of Berg’s exposure to jazz**

Jazz arose from the practices of black Americans,<sup>6</sup> and quickly grew to notoriety on the international scene as a result of the proliferation of gramophone recordings after 1917.<sup>7</sup> Jerome Harris refers to gramophone records among an arrangement of media:

The confluence of these phenomena (in particular, the success of the record player and the radio in the United States) and the emergence of jazz during the first three decades of this century have been noted by many.<sup>8</sup>

The impact of this music on the German-speaking nations finds a clear and succinct description in work on the post-1918 cultural scene in these areas by Marc Weiner:

Jazz was heard on American recordings in other parts of Europe as early as 1917-18, but these did not reach Germany until 1920. Throughout the Weimar Republic, the jazz experience was closely identified with the new technical medium of the phonograph record, both those imported from America and [produced in Germany]. These recordings had a profound influence on the numerous, indigenous small orchestras in Germany that had thrived before the war performing the then-popular antecedent of jazz, ragtime music, and that after the war would take up the new musical idiom.<sup>9</sup>

Unsurprisingly, to judge from the discography assembled by Dietrich Heinz Kraner and Klaus Schulz relating to Austrian interest in jazz,<sup>10</sup> the preponderance of direct evidence relating to jazz in the German-speaking lands must have vanished through suppression by the Nazis who regarded the genre as decadent,<sup>11</sup> or through massive levels of destruction wreaked in the course of World War Two. The task of assessing not only the quantity of this new style of popular music encountered by Berg but also the quality would consequently appear to remain somewhat difficult and out of reach.

In an account compiled from first-hand investigations, Kraner and Schulz nonetheless provide considerable insight. These authors show the extent to which an awareness of jazz arose in a region geographically and emotionally remote from American sources:

There was a small jazz centre [in Vienna] in Max Lasl's 'Weihburg-Bar' between 1922 and 1934 in which you could meet Negro musicians such as Arthur Briggs and Eddie South. Unfortunately, there are no recordings from this period except some titles on the Polydor label with Ernst Holzer who then had the leading soloists Josef Hasdraba and Gustav Voglhut in his band. In the thirties the Casa Loma Band and Jack Hylton's orchestra were the models for numerous dance bands [but] only a small group of musicians knew what was going on. Now also famous American soloists starred in Vienna.<sup>12</sup>

Kraner and Schulz see the establishment of the 'Weihburg-Bar' as a key moment in the introduction of jazz to post-1918 Austrians, through the intensive cultural activity obviously available soonest in their capital city. Prior to that point of development, the idea of jazz had started to infiltrate the metropolitan consciousness, but much more in a way confined to what Kraner and Schultz refer to as 'Pseudo-jazzorchester' or 'Semi-jazzorchester',<sup>13</sup> such as the 'Southern Syncopated Orchestra' featuring a solo by black drummer 'Buddy' in 'The Sheik of Araby'.<sup>14</sup> After the opening of the bar, to judge by accounts separately covering the 1920s and 1930s, a wave of activity spread, out of all proportion to the amount surviving by way of gramophone records.<sup>15</sup>

To offset an inevitable lack of information in this account about the jazz styles that proliferated in Austria in the 1920s, the LP *Jazz and Hot Dance in Austria, 1910-1949* proves moderately useful. This collection precedes indigenously produced items from a later, more established period – including also a Viennese recording of 'Crazy people' by Jack Hylton<sup>16</sup> – with a limited number of items, which show the bluff, but swinging sophistication of 'Somebody stole my gal', recorded in 1933 by Bobby Sax and his Band,<sup>17</sup> as emerging from an initial, stilted, 'Tyrolean' mood.<sup>18</sup> This collection may reflect developments at least in Vienna by musicians such as saxophonist Charly Gaudriot,<sup>19</sup> whose Jazzkapelle Charly Gaudriot features with 'Black heaven' recorded in 1932.<sup>20</sup> In a letter of 1921, Berg refers to Gaudriot as the clarinettist scheduled for a presentation, though in the end aborted, of his Four Clarinet Pieces, Op. 5.<sup>21</sup> As an informal source, the video documentary, *Entaertete Musik* includes along with a commentary on music in the German-speaking lands under the Weimar Republic an unidentified jazz-related soundtrack, presumably drawn from the kind of the music that the editors regard as typical of the popular music in those areas prior to the rise of

Hitler.<sup>22</sup> Jack Hylton and the Casa Loma Orchestra indeed emerge as models for a music that comes across as brisk, dry and jocular, if apparently not very ‘Berg-like’.<sup>23</sup>

Although details of the arrangement of media used for propagation of jazz in the early days may remain obscure, therefore, the availability of American popular music from the 1920s via gramophone, radio and film, along with an improving standard of reproduction, would have helped to generate an evolving sense of sophistication in the response to jazz styles. Feedback from a world market in Austria would have matched other nations. The emerging practices of performed jazz in this land, though to judge from the above LP often in watered-down form, would have grown manifest not only through the activity of Austrian musicians when hired for the purposes of recording and broadcasting, but also with the innumerable imitations of high-life sophistication in live entertainment venues, such as the theatres, bars and hotel lounges that provided a reservoir of skills.<sup>24</sup> As a result, and as a growing cultural undertow, Berg would have had considerable exposure to such music as well as opportunity, which he may well have taken,<sup>25</sup> for sampling the more piquant offerings in Viennese jazz clubs.

Radio in those days would, very comparably to the present era, have played a special role in promoting informal access to such music. Radio broadcasts allowed jazz as an emollient to aspects like news communication to infiltrate homes otherwise not inclined to show interest. According to the account of this situation given by Harris:

From the beginning, various types of live and recorded music were part of the fare [in broadcasts]. Audience interest in dance music was reflected in the programming. The BBC, for example, first broadcast dance-band music in 1923; by 1931, it made up 10 percent of the National Programme and 20 percent of London Regional’s air time. While it is hard to say precisely how much of this music – in Europe or elsewhere – was jazz, numerous first-person accounts

attest to the importance of jazz broadcasts for publicizing recordings as well as for direct enjoyment of the music.<sup>26</sup>

As with the gramophone, the radio would also increase the likelihood of impromptu encounter. Peter Black, an executive in early British broadcasting, indeed describes the effect of such dissemination on the urban and suburban environments of Europe:

If you had walked down a residential street on a fine Sunday morning in a summer of the 1930s you could have heard, floating through the open windows the sounds of the wireless sets; and the sounds that reached your ears would have been of Radio Luxembourg, Radio Normandie, Radio Toulouse, Radio Fécamp and from Ireland, Radio Athlone.<sup>27</sup>

In addition to live performances, therefore, Berg would have encountered a growing vogue for jazz in this way, and would have heard radio and gramophone in the homes of friends and acquaintances. The composer would also have heard jazz on the radio in his own home. Quite aside from ‘classical’ interest in jazz evinced by Teutonic but fashionable composers such as Ernst Krenek and Kurt Weill,<sup>28</sup> Berg would definitely have had increasing exposure to the products of this genre as part of his everyday life.

Useful first-hand testimony, if overlapping late with this historical period, comes from the American jazz critic, Dan Morgenstern who as a child emigrated from Austria in flight from the Nazi regime. This writer’s emphasis on Jack Hylton conveys both the extent and the limit to which jazz music had penetrated this region by the early 1930s:

Though I was born in Europe [in 1929], I’m a child of the swing era. Even in Vienna, home of the waltz, where I spent my earliest years, the sound of American popular music was heard. For me then, the main source of music was not the radio, which was for grown-ups to listen to news on, but the phonograph [...]. In retrospect there wasn’t much that could qualify as real jazz. The closest was *Georgia on My Mind* by the British trumpeter and Armstrong acolyte Nat Goretta – my first, indirect contact with the master. There was *Crazy People* by the Boswell Sisters, which I liked, and *St. Louis Blues* which I didn’t... Early favourites were *Singin’ in the Rain* and *Nobody but You* by Fred Rich’s orchestra... For years I was certain that my first taste of live jazz was in Denmark where my mother and I found a haven after the Anschluss... But when

I heard a record by Jack Hylton's band (Hylton was England's Paul Whiteman) called *Ellingtonia*, I suddenly recalled that I had seen them in Vienna and heard this medley of *Black And Tan Fantasy*, *It Don't Mean a Thing*, *Mood Indigo* and *Bugle Call Rag*. It was *Mood Indigo* that triggered my memory. For this number the houselights had gone down and spotlights had picked up three instrumentalists at centre stage: trumpet, trombone and clarinet. The two brass horns had sparkling mutes in their bells, and the effect, combined with their haunting melody, was magical.<sup>29</sup>

This account conjures up impressions of jazz as by that time established in a milieu of well-to-do Viennese nightlife, and points to the kind of musical style that Berg would have encountered, not least on acquiring status as a celebrity. Although English, bluff and unsophisticated,<sup>30</sup> Hylton acted as a vital emissary for jazz in Europe during this period.<sup>31</sup> His band would have found much acceptance in Austria at this early stage of familiarization, not only through a brisk approach suited to German sensibilities but also, crucially, through not employing black musicians.<sup>32</sup> Morgenstern's reference to celebrities other than Hylton nonetheless shows that a genre that once must have seemed a mere novelty in Berg's homeland had gained wide acclaim by that period.<sup>33</sup>

## **1.2 The significance of jazz for Berg as a member of German society**

The enormously successful propagation of jazz-related music in America and Europe after 1917 ought not to distract attention from the difficulties of acceptance on both sides of the Atlantic. Therein lay a sense of iconoclasm that heightened the aesthetic impact for the post-war disaffected;<sup>34</sup> yet the raucous sound of the music formed one of several factors that would have prevailed on Berg especially as a member of the German middle classes to guarantee that he could not expect to develop an interest in jazz straightforwardly. As an Austrian, Berg may have unconsciously recalled in the African origins of jazz a dread of former Ottoman incursions from the east; the sieges of Vienna in 1529 and 1683 would have left a mark.<sup>35</sup> When contrasted to a colonial,



predatory view of darker-skinned peoples by West Europeans, a provincial, defensive view by East Europeans would serve well to highlight the eponymous link of ‘sadism’ with France, but of ‘masochism’ with Austria, a distinction evident in a letter by Berg to his wife Helene in March 1934. Berg refers in that letter to work on the part of Act Three, Scene 2 of his opera *Lulu*, in which the character of Alwa – noted by George Perle as an autobiographical cipher<sup>36</sup> – dies through a clubbing by an African playboy:

It’s only a [letter] between getting up and starting work, on the way between bed and piano, where the desk stands, inviting me to chat with you, which I would much rather do than get Alwa killed by the Negro.<sup>37</sup>

In this letter, the abominable reputation earned by the German nations in the twentieth century sits rather oddly with the failure of Prussia in the eighteenth century to enter a colonial slave trade that the eventual victors of World War Two had commandeered.<sup>38</sup>

Of more immediate relevance in this context stands the fact that, as a citizen of one of the nations that had lost World War One, Berg would have regarded jazz as a product of America, and thus as a product of the winning side. Not at all surprisingly, racial and territorial issues may have grown tangled. According to Marc Weiner’s account:

The perception of jazz as a musical icon representing a threat to racial purity and a loss of national identity may be attributable in part to a historical factor: the chronological proximity between Germany’s introduction to jazz, already underway immediately following World War I, and the country’s occupation by foreign black troops from 1919 to 1923. At this time the Rhineland, the Saarland, the Ruhr, and, for a shorter period, Mainz and Frankfurt were occupied by black soldiers from French colonies in North Africa, Madagascar, and the Senegal. Many Germans saw the presence of these soldiers as a racial and sexual threat and as an affront to an established white culture.<sup>39</sup>

As a remarkable sign of equanimity in such a situation, therefore, Berg tells in another letter of his of a cinema visit to see a programme that included a propaganda newsreel

In the evening I went to the cinema, sat in a very cheap seat, and saw two German films: *The Black Disgrace*, about German women raped and given V.D.

by the Negro occupying troops, and a comedy. Both shed quite a light on the country's mentality. Significant enough that they should be shown together.<sup>40</sup>

Berg apparently had reserves of intellectual scrupulosity that would have allowed him to approach the music of black musicians in a neutral way. The racial hostility plainly generated during those times nevertheless appears to have found some form of outlet in Berg's conduct, as recollected in a story told by Eleonore Vondenhoff, the wife of Dutch conductor Bruno Vondenhoff, and a friend of Alban and Helene in the 1930s:

From such people come so many stories; Helene once told me the following, for example, about Berg's love of practical jokes: In the *Waldhaus* [the composer's country house in Carinthia] the Bergs had a rather stupid housemaid, and Berg always had his breakfast brought to him in bed. One morning, the housemaid came in with the tray, prior to which Berg had put on a black-face theatre mask with the blanket high up under the chin, so that you could only see the mask; and when the housemaid saw it, she let the breakfast fall to the ground out of fright, and ran out crying: "Miss! Miss! There's a black man in his bed [ein Neger liegt im Bett]!" He got a great deal of fun from such jokes.<sup>41</sup>

Jazz as a sign of black people, especially via the ironically complementary image of Al Jolson, as a star very greatly renowned during those times,<sup>42</sup> would have impressed Berg ambiguously, in the climate by then ascendant in the German-speaking nations:

To the popular imagination throughout [Germany], jazz functioned as an acoustical sign of national, social, racial, and sexual difference. Viewed within the cultural vocabulary of the time as fundamentally antithetical to German cultural traditions, the music both acted as an icon of non-German forces and provided an acoustical screen for the projection of fears and/or hopes regarding rapid and violent political and social change in post-war Germany, not simply for conservatives..., but for an entire society spanning the political spectrum.<sup>43</sup>

Jazz musicians, especially foreign ones,<sup>44</sup> may have capitalized on this ambiguity, as clearly occurred in Berlin in 1928, with Sam Wooding and his 'Chocolate Kiddies'.<sup>45</sup>

### **1.2.1 The German response to jazz as a modern European phenomenon**

As a final complicating factor, and importantly turning to issues of musical detail, the image and the general manner especially of early jazz as 'libertine' ran counter to the

ethos cultivated even by progressive German musicians. Insofar as Berg succeeded in composing works that, both from a modernist standpoint and more generally, deserve mention in the same breath as the works of Bach, Beethoven and Brahms, the aura of aesthetic intensity that he exuded stems from a structurally contrapuntal, chromatic and motivic technique that would appear to defy any compromise of purpose.<sup>46</sup> The mood of Berg's music as thoroughgoing and technically 'classical', and the literary framework, together, present a forbidding, indeed an 'expressionistic' zone to which the ribald manner of jazz would seem to relate only in terms of exclusion. If Berg had really developed an interest in jazz that needed expression, then his music appears at first glance to lack a continuous sense of hedonism within which to locate a response.

The artistic species of Western music loosely referred to as 'classical' of course never hesitated to draw on vernacular sources for the sake of creative invigoration. Berg too, in works such as his Four Songs, Op. 2, first opera *Wozzeck* and Violin Concerto,<sup>47</sup> used European folk idioms, as did other composers of the so-called 'Second Viennese School'. As with any elitist tradition, such a response to the musical grass-roots has in turn marked a process of cultural reciprocity.<sup>48</sup> Nor has the classical tradition failed to respond to musical ideas imported as a result of transatlantic colonial ventures. Just as a modern civilized world emerging against a barbarian backdrop finds reflection in the Turkish Marches, Polonaises and Ecossaises of Mozart, Beethoven and Schubert, so a twentieth-century popular music based on Spanish rhythms but recovered from the Americas finds anticipation in the Habanera from Bizet's *Carmen*.<sup>49</sup> Accordingly, the growing perception by European composers at the end of the nineteenth century of an American syncopated music associated, via 'spiritual', 'cake-walk' and 'ragtime',

with descendents of the black peoples enslaved earlier from West Africa started to draw attention from classical composers, notably at that stage Dvorák and Debussy.<sup>50</sup>

The emergence of jazz as a triumphal kind of black music nevertheless depended on a particularly brash stereotype: rapid, repetitive and syncopated like ragtime, but also inclined to heterogeneity of ensemble. Weiner notes that the effect would have struck with particular force through altered perceptions caused by the means of conveyance:

The music reproduced – jazz – and the means of its reproduction evoke similar if not identical associations of disorientation and attack the conservative imagination... In his celebrated essay [‘The Work of Art in the Age of Mechanical Reproduction’, 1935], Walter Benjamin addresses the means by which modern forms of reproduction serve to change the way art is received in modern society. Benjamin argued that the aura of the work, that is, the reverence with which bourgeois culture imbued it as a unique accomplishment, was undermined when it was experienced repeatedly in such a way that the (mechanical) means of its reproduction were readily apparent.<sup>51</sup>

The combination of brashness of effect in the music, extreme banality of context as a result of the means of propagation, and inescapable association of the whole effect as, whatever the commercialized truth,<sup>52</sup> the expression of menial black people, imbued jazz with an aesthetic and a political meaning in relation to which no one could expect to remain neutral.<sup>53</sup> Furthermore, while these aesthetic and political aspects may have given rise to a polarization of opinion expressed in terms of one aspect or the other, such close association would have ensured that the two remain mutually connotative. To express a love of jazz would, however hypocritically, imply support for the black cause; to dislike jazz would serve as a conduit for racial disdain. To attempt to take a position of equanimity in this context would have meant completely disregarding the importance of perceived racial identity as a blatant atavistic lure in modern society.<sup>54</sup>

If the brazenness of jazz constituted as much a hindrance to assimilation as a promise of renewal, even with the ‘libertine’ mood after cessation of hostilities in 1918, therefore, then the prospect of classical-jazz exchange depended on the heterogeneous traits in modern classical music as regards accent, timbre and harmony.<sup>55</sup> Interest in jazz by the group of composers known as ‘Les Six’, precipitated by iconoclastic, rag-related impulses in *Parade*, a ballet score of 1918 by Erik Satie, set the scene for the 1920s,<sup>56</sup> a period that would witness converging generic interests in works such as Milhaud’s *Création du monde* and Ravel’s Piano Concerto on the classical side, and Cole Porter’s *Within the Quota* and George Gershwin’s *Rhapsody in Blue* on the jazz-related side. The idea that jazz could never prove durable as an influence on the more tasteful forms of through-composition faced a challenge also, above all, in the music of Stravinsky. This Russian émigré to the French capital showed in earlier pieces of his a barbaric propensity for cross-accentuation. In consequence of this fact, and by virtue of talent, an overt interest in jazz and a timely interaction of circumstance, this composer assumed at least for a while a role as principal classical mediator for jazz,<sup>57</sup> thus the clear influence exercised by Stravinsky on Aaron Copland, who followed in America, provided straightforwardly, *ipso facto*, a ‘jazz-related’ mediating capacity.<sup>58</sup>

With German-speaking composers in very pronounced contrast, receipt of the mantle of Italian opera in the wake of the French Revolution, and desire through the influence of Beethoven and Wagner to transform the classical tradition by means of intellectual might into a monumental and serious form of art, exacerbated the problem of race and military defeat. Hermann Hesse’s novel, *Steppenwolf* illuminates well the extent to which this issue had made the reception of jazz in Germany exceptionally precarious:

From a dance hall there met me as I passed by the strains of lively jazz music,  
hot and raw as the steam of raw flesh... I stood for a moment on the scent,

smelling this shrill and blood-raw music, sniffing the atmosphere of the hall angrily... It was the music of decline. There must have been such music in Rome under the later emperors. Compared with Bach and Mozart and real music it was, naturally, a miserable affair; but so was all our art, all our thought, all our makeshift culture in comparison with real culture.<sup>59</sup>

A chaotic mood with a ‘racially tainted’ origin of course made such music notoriously controversial in high society worldwide, not least in America as a nation still fraught with antagonisms generated by a civil war fought over the issue of black slaves;<sup>60</sup> yet, in offering a means by which to develop techniques of social pacification, jazz carried a more positive meaning for a nation that had triumphed as a power in the first global war than for one that had lost. Awareness of this possibility emerges in *The Jazz Singer*, an American film starring Al Jolson and made famous in 1927 as the first on release to use a soundtrack.<sup>61</sup> The fact that the protagonist of the film suffers ostracism by his rabbi father for pursuing a career as a stage minstrel in vaudeville, discusses the problem of anti-Semitism with a girlfriend while blacking-up prior to an act, and finds reconciliation at the end without giving up the idea of continuing as a jazz singer, could well register as a signal to the American nation and music industry.

Germany and Austria lacked a centralized agency for legitimizing this music. On the other hand, conservative Teutonic resentment at the post-war state of affairs found a strong and sympathetic representative in the figure of the composer, Hans Pfitzner. Prior to 1914, this composer had made a stand against the potential of chromatic modernism – an issue linked most controversially with Alban Berg, Anton Webern and above all their mentor, Arnold Schoenberg<sup>62</sup> – by attacking the progressive views voiced in Berlin by Ferruccio Busoni.<sup>63</sup> By the 1920s, Pfitzner’s anti-Semitic tendencies led to his perception, within an earlier-conceived but hitherto vague idea of ‘internationalism’, of America as the obvious external enemy of German interests and, in tandem with the chromatic enemy within, as represented in musical terms by jazz:

What we are *trading in, for that* we have, so to speak, two ‘offers’. The international atonal movement has not yet been ‘accepted’, it can only be *forced* upon a people. The atonal chaos, along with its corresponding forms in other arts, is the artistic parallel to bolshevism, which threatens the states of Europe. Basically, no one wants to have anything to do with this group, it is imposed upon the world by a minority, with force...This group kills the *body*, of the world here, of art there. But the second offer is already accepted, it is finished and is already here! It is the jazz-fox-trot flood, the musical expression of *Americanism*, this danger to Europe. This kills the *soul* and flatters the body, which is why its danger is unnoticed and is welcome.<sup>64</sup>

Pfitzner significantly refers in this passage not to Germany but to Europe, evidently a mark of the extent to which he felt a sense of identity as one of an elite and military breed, as a result committed unswervingly to the buttressing of the western domains.<sup>65</sup>

In this context, the role of the American bandleader, Paul Whiteman, whose straight-laced style known as ‘symphonic jazz’ acted as a prelude to the relatively freer styles of the Casa Loma Orchestra and Jack Hylton,<sup>66</sup> emerges from Weiner’s description as crucial to a defusing of racial tension on both sides of the Atlantic during the 1920s:

While [some of the jazz orchestras active at the time in Germany] exploited the widespread interest aroused through jazz’s purported exoticism, others, such as the sensationally successful Paul Whiteman, attempted to make the new music more palatable to the German middle class by imbuing performances of jazz with a more traditional orchestral sound and even by programming jazz renditions of such warhorses as Liszt’s *Leibestraum* and the *Pilgerschor* from Wagner’s *Tannhäuser*. Whiteman is credited with having brought to Germany the first jazz not intended as dance music, a kind of jazz that also de-emphasized improvisation and stressed instead technical precision and drill. By 1928 jazz was so popular in Germany that Mátyás Seiber could offer a class on it at the Hochs’sche Conservatory in Frankfurt am Main... It was from Seiber that Theodor Adorno learned about the new music before writing his first theoretical discussion of it, [‘Farewell to jazz’] in 1933.<sup>67</sup>

Of course, what might have appeared balanced to America and the Weimar Republic would strike enthusiasts for the Old Prussian cause as treacherous: a Trojan horse of the first order. Whiteman’s visit to Berlin in 1926 thus deserves mention as the point at which American influences ramified an interest in jazz that, despite intimations of

treachery, had grown too large in Germany to ignore. By the account of Arnold Ringer, the idea of an amalgamation of jazz with the so-called musical ‘bolshevism’ of Schoenberg and Stravinsky loomed especially large with the work of Kurt Weill:

In Weill’s [stage works since *Die Dreigroschen Oper*, composed in 1927], the spirit of [Schoenberg’s] *Pierrot Lunaire* has, as it were, been filtered through [Stravinsky’s] *L’histoire du soldat*, then gone through the crucible of American jazz as represented in particular by Paul Whiteman and his band, whose appearances at the *Grosse Schauspielhaus* in Berlin in June 1926 created a sensation, if not an outright crisis, among some younger German composers.<sup>68</sup>

As provoked also not least by Ernst Krenek’s *Jonny spielt auf*, a jazz-related opera composed, in 1926, even sooner after the Whiteman concert, revulsion in conservative circles at the impact of jazz in Germany – at a time that in 1925 also saw the premiere and success of Berg’s total-chromatic opera, *Wozzeck* – should come as no surprise.<sup>69</sup>

### 1.2.1.1 The attitude to jazz of Schoenberg as Berg’s mentor

As Berg’s mentor during the period 1904-11, Arnold Schoenberg held an extreme modernist position that must particularly have outraged Pfitzner; and, by way of reciprocation, no doubt indeed by way of proxy, Berg attacked the latter composer in 1920 in an article, ‘The musical impotence of Hans Pfitzner’s ‘New Aesthetic’’.<sup>70</sup> At the same time, the traditional origins of Schoenberg’s technique gave him a degree of common cause with that adversary, as derived from Brahms as well as Wagner.<sup>71</sup> Accordingly, the attitude to jazz if not to modernism of Schoenberg, who had read anti-German views expressed by Kurt Weill in an article of 1928, and, outraged too, had made copious private notes,<sup>72</sup> seems in Ringer’s view not unlike that of Pfitzner:

Once [Schoenberg] had gained full possession of his method of composing with twelve tones he tended to look ‘neither left nor right’, whereas Weill doggedly kept his stylistic options open. By the mid-twenties, no doubt under French influence, Weill had turned to jazz as a catalyst for a process of aesthetic fusion that was to produce a [uniquely populist] body of new music perhaps no less significant yet quite unlike that of Schoenberg, who had no more use for such American imports than for Weill’s strong socialist leanings. And, needless to



say, Weill, who had barely left school when the guns of August finally fell silent, was committed to international understanding through music, whereas Schoenberg prided himself on his particular contribution to the German musical heritage.<sup>73</sup>

During Schoenberg's Berlin years, indeed, if at a precise moment of time not easy to establish,<sup>74</sup> the composer most certainly exhibited a Teutonic sense of 'commitment':

I was asked by telegraph whether I think that jazz has exerted an influence on German music. || As long as there is German music and one rightly understands what that has meant up to now, jazz will never have a greater influence on it than Gypsy music in its time. The occasional use of several themes and the addition of foreign colour to several phrases has never changed the essential: the body of ideas and the technique of its presentation. Such impulses can be compared to a disguise. Whoever dresses up as an Arab or a Tyrolean intends to appear this way only externally and temporarily, and as soon as the fun of the masquerade is over, he wants once again to be the person he was before.<sup>75</sup>

Irrespective of the numerous ambiguities that may arise when attempting to discover what Schoenberg thought about jazz on a purely personal level,<sup>76</sup> the composer wrote herein and subsequently against the idea of jazz as music of supreme artistic value.<sup>77</sup>

Unsurprisingly, therefore, while Schoenberg showed a fascination in his works for the Viennese waltz,<sup>78</sup> he definitely avoided rhythms that might suggest any influence by jazz. If the idea appears reasonable that the rigorous motile tracteries often found in Schoenberg's oeuvre, as with the aggressive *spiccato* passage for cellos from bar 26 in the first of his Five Orchestral Pieces Op. 16, shown in Example 1.1, may derive from an exposure to ragtime; then proof together with firm parallel characterization

### EXAMPLE 1.1

Schoenberg, Five Orchestral Pieces Op. 16, No. 1, bars 26-35

**sehr rasch**  
Vc. divisi: I, arco, spiccato; II, pizz.

*p* *cresc.*

**EXAMPLE 1.2**

Joplin, *The Entertainer*, bars (4)-(8)

[Not fast]

Piano

*p* *f*

CONCENTRATIONS OF SYNCOPATED, 'TIE-OVER' NOTES

SET OF ARRESTED RUNNING-NOTES

**EXAMPLE 1.3**

Stravinsky, *Dumbarton Oaks* [1937-8], First Movement:

(a) Fig. 7, bars 1-2

[ Tempo giusto ♩ = 152 ]

Bn.

Hns.

*mf* *sub. p* *sub. p* *sub. p* *sub. p*

CONCENTRATIONS IN EFFECT OF SYNCOPATED 'TIE-OVER' NOTES

(b) Fig 10, bar 6 – Fig. 11, bar 1

[ Tempo giusto ♩ = 152 ]

Fl. *8va*

Cl. *8va*

*sf* *fp* *f* *fp* *f*

SETS OF ARRESTED RUNNING NOTES

remains elusive through a complete absence of ‘tie-over’ notes. Whereas exposure to ragtime may have proved fertile during Schoenberg’s middle, ‘expressionistic’ phase, by helping to inspire a concrete, indeed truculent form of counterpoise to the experimental textural morasses on which the works of those years mainly depended, however, the rhythmic simplification of that composer’s style later throws into relief the extent to which he persisted during the 1920s in avoiding obvious American-like enunciations, presumably as gestures that might draw a charge of artistic frivolity.<sup>79</sup>

As a result, the simple sequences of pulse that extricate pieces of Schoenberg’s such as his *Serenade* Op. 24, *Suite* Op. 29 and *Third String Quartet* Op. 33 from an earlier expressionism ‘chaos’ do not use concentrations of syncopated, ‘tie-over’ notes or arrested sets of running-notes that resemble the sound of ragtime shown in [Example 1.2](#). Stravinsky, on the other hand, uses concentrations of syncopated, ‘tie-over’ notes quite often in passages from works conceived after 1920, such as from Fig. 7 in the first movement of his *Concerto in E flat, Dumbarton Oaks*, shown in [Example 1.3](#). As additionally shown, Stravinsky also features arrested sets of running-notes, as in the

#### EXAMPLE 1.4

Schoenberg, *Von Heute auf Morgen* Op. 32 [1929], bars (482)-4

Sehr lebhaft ♩ = 126

VOCAL RAG-LIKE SYNCOPATIONS SUBMERGED  
WITHIN A GENERAL 'CON BRIO' KIND OF PATTERN

Die Frau  
Drum legich letztei - nen Ka - len dermiran; dort schrei-be auf ich, wer e-ben-kommt dran;

Sax.  
mf

mf

guit  
p legg.

legg.

same work from the fifth bar prior to Fig. 11. In this way, he sets an imprimatur on the kind of expected proximity for a composer to establish. Accordingly, although Schoenberg's opera *Von Heute auf Morgen* – a rare response by the composer in the 1920s to the vogue for socially 'relevant' theatre<sup>80</sup> – uses cross-accents interpretable in a jazz-related way, the effect barely intrudes upon the listener, remaining in this mild, domestic comedy obscured by the orchestral sound, as shown in Example 1.4.

Questions of aesthetic integrity also give rise in Schoenberg's case to questions of 'highbrow' alienation, as perhaps over jazz not separable from cultural hostility.<sup>81</sup> That Schoenberg may along with any positive feelings have harboured a viscerally condemnatory view of jazz – as with Hesse<sup>82</sup> – seems tenable when considering H.H. Stuckenschmidt's account of *Moses und Aron*, Act Two, a section completed in 1932:

The second act is in the main Schoenberg's own invention. It shows Aaron and the people awaiting Moses, who has gone to Sinai to await the giving of the law. To the doubting crowd, Aaron gives the Golden Calf, before which an orgy of drunkenness, madness and sexual license takes place...The glowing orgiastic colours distilled by Schoenberg from the orchestra [in this part of the work] go far beyond what one knows in his earlier stage works.<sup>83</sup>

The idea of jazz as licentious, libidinous, orgiastic etc heightens the possibility that, as the 20s gave way to the 30s, any simple liking for jazz that Schoenberg may have felt would sit less and less easily with an increasingly stern attitude towards morality.<sup>84</sup> Accordingly, in the eighth of Schoenberg's Variations for Orchestra, Op. 31, the only occasion on which this composer overtly creates an effect that stands interpretation as an allusion to jazz rhythm, he exhibits an aggressive, possibly nihilist approach. As shown in Example 1.5, the sporadic vaudeville-like syncopations that increasingly break out from the frenzied melee after bar 266 sound vitriolic and extremely satirical.

**EXAMPLE 1.5**

Schoenberg, Variations for Orchestra Op. 31, Var. VIII, bars 274-5

[Sehr rasch,  $\text{♩} = 100$ ]

Cls. *mf*

Strs. *mf*

*f*

PLACEMENT OF EMPHASES TENDS TO SUGGEST:

Cls. *mf*

Strs. *mf*

*f*

Of course, the religious and moralist impulses to which this set of observations arguably correlates arose well after the point at which Berg had wrested his own sense of artistic independence;<sup>85</sup> yet Berg would from the start have had to struggle against his common agenda as a musician with Schoenberg in terms of the sober, Teutonic artistic values of earlier years. In which case, very interestingly, as shown in Example 1.6, a possible anticipation of an underlying censure that Schoenberg may have come to feel, about the brash, hedonistic kind of music for which black Americans would forever acquire renown, arises with the offstage gaiety effects that break out at bars 26 and at bar 200 in his opera, *Die glückliche Hand*.<sup>86</sup> Although not rhythmically related to jazz and, composed in 1912, without any possible debt thereto, the score conjures up a definite feeling of presentiment of ‘Dixieland’ raucousness. As with the eighth of Schoenberg’s Variations Op. 31, a contemptuous attitude emerges

**EXAMPLE 1.6**Schoenberg, *Die Glückliche Hand* Op. 10, bars 26-29

A PRESENTIMENT OF DIXIELAND?

*etwas rascher* ♩ = 56-60

(orchestral percussion, strings)

in relation to a hedonistic object. Whatever personal impulses this composer's may have felt towards jazz, he always seems driven into falling back from one cultural perspective or another into an intractable state of alienation from vulgar artistic tastes.

On account of the didactic intrusion of Schoenberg's opinions upon the lives of all of his pupils, therefore, Berg would undoubtedly have inhabited a sphere persistently disinclined to encourage him to assimilate jazz influences as a composer. The idea of Berg developing more than a supine interest in jazz would always have had to contend with some kind of disapproval by Schoenberg, to the seven years under whose tutelage from 1904 he would remain indebted as a composer. In that time, a regime prevailed in which the master's autocratic drive exposed the bonds of respect from pupils to great moral pressure. Berg appears over and above his fellows to have found that regime difficult, encountering the level of conflict described by Douglas Jarman:

Berg's relationship with his teacher was and remained a difficult one. Schoenberg became a father figure whose approval he craved and whose disapproval or interference he dreaded for many years after his studentship had ended. The years following Schoenberg's move to Berlin in 1911 were particularly difficult...The growing personal difficulties between the two finally

came to a head in late 1915 when communication more or less ceased for a while. The rift was gradually healed over the next three years.<sup>87</sup>

Especially given Schoenberg's dictatorial manner as a teacher, a trait exhibited more casually but no less effectively once the course of lessons had ended, a deeper picture starts to emerge that suggests a background of such cultural severity that any impulse of Berg's to mount the jazz bandwagon in the 1920s, perhaps from an amelioration of his situation through fame, could in fact expect to find no means of expression except under jealous forms of surveillance. To use jazz-like elements other than superficially would require concealment in the act of disclosure, an approach perhaps needing the skills in musical cryptology for which this pupil of Schoenberg's has gained recognition;<sup>88</sup> so, the nature of Berg's attitude and approach jazz continues to intrigue.

came to a head in late 1915 when communication more or less ceased for a while. The rift was gradually healed over the next three years.<sup>87</sup>

Especially given Schoenberg's dictatorial manner as a teacher, a trait exhibited more casually but no less effectively once the course of lessons had ended, a deeper picture starts to emerge that suggests a background of such cultural severity that any impulse of Berg's to mount the jazz bandwagon in the 1920s, perhaps from an amelioration of his situation through fame, could in fact expect to find no means of expression except under jealous forms of surveillance. To use jazz-like elements other than superficially would require concealment in the act of disclosure, an approach perhaps needing the skills in musical cryptology for which this pupil of Schoenberg's has gained recognition;<sup>88</sup> so, the nature of Berg's attitude and approach jazz continues to intrigue.

### 1.3 Endnotes for Chapter One

- (1) Ronald Pearsall, *Popular music of the twenties* (London, 1976).
- (2) *Ibid*, p.59.
- (3) See Louis Armstrong's attitude to this issue in James Lincoln Collier, *Jazz: the American theme song* (New York, 1993), p.119.
- (4) Derek Puffett, 'Berg, Mahler and the Three Orchestral Pieces, Op. 6', *The Cambridge companion to Berg*, ed. Anthony Pople, p.111.
- (5) As with the work of bebop innovator, Thelonius Monk; see Frank Tirro, *Jazz: a history* (London, 1977), p.279.
- (6) For a penetrating assessment of the racial strands involved in the evolution of jazz, and of the central importance of various kinds of Creole, as enfranchised or disenfranchised in one period or another, see Collier, *Jazz*, pp.189-200.
- (7) See Ian Whitcomb, *After the ball: pop music from rag to rock* (Harmondsworth Mdx. UK, 1972, 1973), p.97.
- (8) Jerome Harris, 'Jazz on the global stage', *The African Diaspora: a musical perspective*, ed. Ingrid Monson, p.108.
- (9) Marc Weiner, *Undertones of insurrection: music, politics, and the social sphere in the modern German narrative* (Lincoln, Nebraska, 1993), pp.121-2.



- 
- (10) See Dietrich Heinz Kraner & Klaus Schulz, *Jazz in Austria: historische Entwicklung und Diskographie des Jazz in Österreich* (Graz, 1972), pp.33-84.
  - (11) See *ibid*, pp.12-13.
  - (12) *Ibid*, p.31.
  - (13) See *ibid*, p.7.
  - (14) See *ibid*, p.7.
  - (15) See *ibid*, pp.7-12, 35-84.
  - (16) On LP, Harlequin HQ 2014, *Jazz and hot dance in Austria, 1910-1945: Volume 5* (Crawley, West Sussex, UK, 1984), side 1, track 3.
  - (17) *Ibid*, side 1, track 7.
  - (18) *Ibid*, side 1, tracks 1-6.
  - (19) See Kraner & Schulz, *Jazz in Austria*, pp.8-10.
  - (20) On LP, *Jazz and hot dance in Austria*, side 1, track 4.
  - (21) Alban Berg, letter to Helene Berg (Vienna, 1921), trans. in *Alban Berg: letters to his wife*, ed. Bernard Grun, p.275.
  - (22) See Weiner, *Undertones of insurrection*, p.121.
  - (23) As evinced for example on CD HEP 1011, *Casa Loma Orchestra: Casa Loma stomp* (UK, 1997), *passim*.
  - (24) See Kraner & Schulz, *Jazz in Austria*, pp.7-10, 10-12.
  - (25) For a hint of Berg's liberality in this respect, see Douglas Jarman, 'Berg, Alban (Maria Johannes)', *NG2, Vol. 3*, p.314.
  - (26) Harris, 'Jazz on the global stage', p.111.
  - (27) Peter Black (1972), cited in *ibid.*, p.26.
  - (28) See Frank Tirro, *Jazz*, p.334.
  - (29) Dan Morgenstern, 'Reminiscences in tempo', *Jazz: a history of America's music*, ed. Geoffrey C. Ward, p.224.
  - (30) See André Hodeir, trans. *Jazz its evolution and essence* (London, 1956), p.7.
  - (31) See Pete Faint, 'Jack Hylton vs. Igor Stravinsky', *The Jack Hylton official homepage*, ed. Pete Faint.
  - (32) See Pearsall, *Popular music in the twenties*; compare pp.60, 70.
  - (33) See Kraner & Schulz, *Jazz in Austria*, pp.7-10.
  - (34) See Collier, *Jazz*, pp.21-23.
  - (35) See Ilsa Barea, *Vienna* (New York, 1966), p.17. As support for this idea of conflated racial fears in Germany and Austria, compare the risqué, 'colour-

- oriented', but 'Turkish' lyrics of the 'Black Bottom' from bar 357 in Act One of *Maschinist Hopkins*, the opera of 1928 by the German composer, Max Brand, with the context, as sung in the drama by a chorus of black Americans.
- (36) See George Perle, *The operas of Alban Berg, Volume Two: Lulu* (Berkeley, Ca., 1985), p.59.
- (37) Alban Berg, letter to Helene Berg (Carinthia?, 1934), trans. in *Alban Berg: letters to his wife*, p.421.
- (38) See Eric Williams, *From Columbus to Castro: the history of the Caribbean, 1492-1969* (London, 1974), p.94.
- (39) Weiner, *Undertones of insurrection*, p.123.
- (40) Alban Berg, letter to Helene Berg (Carinthia?, 1921), trans. in *Alban Berg: letters to his wife*, p.282.
- (41) Eleonore Vondenhoff and Andreas Maul, 'Es war eine Freundschaft von ersten Augenblick an', *Österreichische Musik Zeitschrift*, 12 (1989), p.606.
- (42) See Whitcomb, *After the ball*, pp.84, 91.
- (43) Weiner, *Undertones of insurrection*, p.121.
- (44) See pages 8-10 above.
- (45) See Weiner, *Undertones of insurrection*, pp.125-134.
- (46) See Alban Berg (1924), trans. 'Why is Schoenberg's music so difficult to understand', in Willi Reich, trans. *the life and work of Alban Berg* (London, 1965), pp.189-204.
- (47) See Peter J. Burkholder, 'Berg and the possibility of popularity', *Alban Berg: historical and analytical perspectives*, eds. David Gable & Robert P. Morgan, pp.38-9.
- (48) See *The Larousse encyclopaedia of music*, ed. Geoffrey Hindley, (London, 1971).
- (49) See Arthur Jacobs, *A short history of Western music* (Harmondsworth, Mdx., UK, 1972), pp.290-291.
- (50) See *ibid.*, pp.266; 294.
- (51) Weiner, *Undertones of insurrection*, p.146.
- (52) Compare Collier, *Jazz*, pp.84-122, 183-224; see also Whitcomb, *After the ball*, pp.50-51, 90
- (53) See *Ibid.*, pp.182-224.
- (54) See Arnold J. Ringer, *Schoenberg: the composer as Jew* (Oxford, 1990), p.1.

- (55) See Ernest Ansermet (1919), trans. under the heading ‘A “serous” musician takes jazz seriously’, *Keeping time: readings in jazz history*, ed. Robert Walser, pp.10-11.
- (56) See Jacobs, *A short history of Western music*, p.296.
- (57) Note Stravinsky’s long-term involvement with jazz as described by Wilfred Mellers, ‘Stravinsky and Jazz’, *Tempo* (June 1967); also note the composer’s proselytizing involvement with Jack Hylton in 1931 as described in Faint, ‘Jack Hylton vs. Igor Stravinsky’.
- (58) Accordingly, Copland’s liberal use of syncopation from the 1920s onwards, in a manner clearly ‘legitimized’ by Stravinsky, also followed a simpler metrical approach that, in works such as the Piano Concerto of 1929, *El Salon Mexico* of 1936, and *Dance Cubano* of 1949, permitted this American composer an obvious way of alluding to the ‘jazz-related’ aspect of his social environment.
- (59) Hermann Hesse (1975), trans. *Steppenwolf* (1988), p.43, cited in Weiner, *Undertones of insurrection*, p.118.
- (60) See Collier, *Jazz*, p.15-18.
- (61) Film Warner Brothers (1927), *The jazz singer*, on video Warner Home Video PES 99321 (USA, 1988)..
- (62) See Malcolm Macdonald, *The master musicians: Schoenberg* (London, 1976), pp.71-73, 73n.
- (63) See Weiner, *Undertones of insurrection*, pp.36-50
- (64) Hans Pfitzner (1926-9), cited in Weiner, *Undertones of insurrection*, p.64.
- (65) See *ibid.* (Weiner, *Undertones of insurrection*), p.64.
- (66) See page 4 above.
- (67) Weiner, *Undertones of insurrection*, pp.121-2.
- (68) Ringer, *Arnold Schoenberg* (Oxford, 1990), p.101n; Whiteman’s visit to Berlin in 1926 clearly represented an imprimatur for a jazz scene in the capital that had started in earnest in 1924 – see Weiner, *Undertones of insurrection*, p.122.
- (69) See *ibid.*, p.88.
- (70) See Alban Berg (1920), trans. ‘The musical impotence of Hans Pfitzner’s ‘New Aesthetic’’, in Reich, *The life and work of Alban Berg*, pp.205-218.
- (71) See Macdonald, *The master musicians: Schoenberg*, p.67.
- (72) See Ringer, *Arnold Schoenberg*, p.89-91.

- (73) *Ibid*, p.87.
- (74) ‘Since it was cabled [by Schoenberg] from Berlin, we can assume that the [text of the following citation] was written between 1925 and 1932.’  
Introductory note by Sabine Fiesst to Arnold Schoenberg (1925?-1932?), trans. ‘Comment on jazz’, *Midwest Chicago Daily News*, reprinted in *Schoenberg and his world*, ed. Walter Frisch, p.290.
- (75) Schoenberg, ‘Comment on jazz’, p.290.
- (76) In *Alban Berg und seine idole : Erinnerungen und Briefe* (Leck, Austria, 1995), p.293, Soma Morgenstern – who as an arts journalist in Germany from the late 1920s had mingled with the Vienna school – summarily declares that Schoenberg ‘loved’ jazz. In the introduction to ‘Schoenberg and America’ in *Schoenberg and his world*, ed. Frisch, pp.285-6, Sabine Feisst expands this idea to suggest that the composer grew even fonder of jazz in America through contact with a more genuine kind of style. Schoenberg mildly supports these ideas with relaxed comments on the subject of ‘American light music’ in his article of 1934, ‘Why no great American music?’, *Style and Idea*, p.178. The deeper meaning of these assertions nevertheless remains inscrutable.
- (77) In Schoenberg’s article of 1940, ‘Art and the moving pictures’, *Style and Idea*, p.153-7, concern for the effects of what in an article of 1931, ‘Crisis of Taste’, *Schoenberg and his world*, pp.291-2, the composer calls ‘Americanism in art’ continues unabated; in these and other writings, Schoenberg relegates jazz as possibly enjoyable, but in a higher sense debarred, thus confirming an adherence to Teutonic values attributed to the composer by Ringer. This fact shows Feisst as wrong in implying that relaxation by Schoenberg towards jazz in the United States would have allayed his concern for ‘Americanism in art’. The composer’s circumlocution in the first two paragraphs of his obituary article of 1938 about George Gershwin, *Style and Idea*, pp.476-7, suggests that living in America may actually have exacerbated a state of conflict.
- (78) The *Obligat Rezitativ* – last of Schoenberg’s Five Orchestral Pieces, Op. 16 – stands as one of many clear examples; see Ned Rorem (2001), cited in Arnold Whittall, ‘Review-article: American allegiances’, *Musical Times* (Spring 2003), p.61.
- (79) See Pierre Boulez (1952), trans. ‘Schoenberg is dead’, *Stocktakings from an apprenticeship: Pierre Boulez*, ed Paule Thévenin, pp.211-213.

- (80) See Ringer, *Arnold Schoenberg*, pp.84-5.
- (81) At this point, a view of Schoenberg as pushed by the growing anti-Semitism in Germany in the 1920s at least marginally more than Pfitzner towards jazz seen as an 'international' form of activity – see p.14 above – would seem to collide with the underlying fact of racial oppression.
- (82) See pages 13-14 above.
- (83) H.H. Stuckenschmidt, trans. *Arnold Schoenberg* (London, 1959), p.149.
- (84) See Macdonald, *The master musicians: Schoenberg*, pp.55-59. Also see Arnold Schoenberg (1948), 'Music and morality', reprinted in *Schoenberg and his world*, ed. Frisch, p.306. For a comment on the underlying 'teleological' matrix as could arguably affect questions about jazz in this situation, see T.W. Adorno (1966), trans. *Negative dialectics* (London, 1973), pp.22-23.
- (85) The great compositional fecundity represented by *Wozzeck*, as brought to a state of completion in the years up to 1923, and the astonishing success of that opera from 1925, together symbolize Berg's newly-gained independence.
- (86) The instructions for these outbursts specify an offstage effect of vulgar ribaldry accompanied by the mocking laughter of a crowd.
- (87) Jarman, 'Berg, Alban (Maria Johannes)', pp.314.
- (88) See *Encrypted messages in Berg's music*, ed. Siglind Bruhn, *passim*.

## – CHAPTER TWO – BERG'S ATTITUDE AND APPROACH TO JAZZ

Berg's musical approach to jazz will naturally have reflected his attitude towards that genre in the form of thoughts and feelings, aspects likely to emerge in the literature on the composer; and, as expected from a straightforward view of the matter, the attitude initially appears negative. In the years immediately after World War One, Berg took an uncompromising line on the value of pleasurable effects in music from whatever quarter. The composer's *Statement of Aims*, written in his capacity as steward for the Society for Private Music Performances organized by Schoenberg, reads as follows:

If joy and pleasure in some of the performed works are awakened...this must be considered to be a side effect...In the planning of programs, no attention can be paid to this... because our purpose is restricted to giving as perfect a representation [of modern music] as possible.<sup>1</sup>

Accordingly, in a letter by Berg in 1921 to a pupil Erwin Schulhoff, a composer who had adopted an early, positive line towards jazz,<sup>2</sup> he combines a degree of technical grasp of the music by that time growing popular, with a cultivated element of disdain:

I myself have little time for dance forms, although I can't disagree with your arguments (Mozart, Brahms, Schubert). But the rhythms of these dances [written by Schulhoff in 'jazz' styles] are, as with the most complicated Negro rhythms, uniform (the rhythm of two beats becomes very repetitious. In the end isn't our Austrian, military drum rhythm also made of cardboard!) and poor compared to the rhythms we [the Second Viennese School] produce. Look at the middle two of [my] *Four Clarinet Pieces* to see what I mean!<sup>3</sup>

T.W. Adorno, philosopher and musical aesthete, but also a pupil of Berg's during the period 1924-33,<sup>4</sup> indeed dismisses any idea of vulgar impulses degrading the work of this composer. Adorno admits that by 1925 Berg established a creative approach to jazz but that he always showed an uncompromising attitude to questions of intention:

For the composer [Berg] the commercial world is represented by the idiom of popular music, by the new dances of those years. Berg was not interested in learning about jazz until very late, not until 1925, and held himself extremely aloof from it, in stark contrast to those versatile contemporaries who sought to

adapt it to art music in hopes of finding in its false originality a corrective for the decadence of which these merry gentlemen were surely the last to be suspected.<sup>5</sup>

Evidently in the early 1920s, therefore, Berg had noticed the initial vogue for jazz but, at least up to the year indicated, resolved not to compromise his anti-frivolous stance.

On the other hand, in presenting a somewhat different picture, the tantalizingly brief testimony of Hans Redlich shows that Berg undoubtedly changed his viewpoint later:

According to Adorno, Berg only became acquainted with Jazz in or about 1925 and took to it reluctantly. However, Berg's widow [Helene] asserts that he delighted in listening to Jazz bands on his wireless set... Berg's penchant for Jazz is all the more remarkable in that neither Schoenberg nor Webern paid more than casual attention to it.<sup>6</sup>

The testimony of Helene Berg, who might have followed an anti-jazz line, of course counts considerably as an account of the composer's vernacular tastes; and, insofar as Berg may have relinquished his disapproving attitude when the propagation and style of jazz, along with the strength of his musical reputation, had passed a certain point of development, she may very well have had a later date in mind than 1925. A letter written in 1929 by Berg to his friend, the writer Soma Morgenstern – who that year fathered a son Dan, in later years the jazz critic cited previously<sup>7</sup> – confirms this idea:

My Dear Soma! I have just come across the following quote by Hubermann: 'Before I fully approach the subject, I must stress that I hate jazz. I hold it impossible for a serious artist to get any satisfactory expression from these broken rhythms'. This comes from an article: 'Jazz – a musical perversion'. So I think – as always – I'm right in saying that such an idiotic musician, with such inept ways, may play the violin well but won't have any talent for Beethoven.<sup>8</sup>

Morgenstern separately alludes to Berg's letter in the following unequivocal terms:

Alban Berg loved jazz, as did Schoenberg and all of the other members of the Vienna school. When one day he read an interview with the famous violinist Bronislaw Hubermann, quoting that performer as making a comment against jazz, he was so incensed that he had to convey his indignation to me. He could not reach me by 'phone, so he left a note at my apartment, which read: 'Have you seen what Hubermann has said about jazz? Perhaps he can play the violin

well, but he won't have any talent for Beethoven!' Later Hubermann denied making the comment. A year later...I took [Alban] to a concert in which Hubermann played Beethoven's Violin Concerto. Berg listened to Hubermann's performance contentedly and said: "Now I can take his denial seriously".<sup>9</sup>

Discounting the details of Krasner's commission six years after the letter and not one as implied, the idea of Berg as someone with great interest in jazz seems undeniable, as does the likelihood that the composer expressed different views in later years. From an appraisal of available testimonies, therefore, the inflexible anti-populist stance of Adorno, who persisted even when jazz acquired stronger artistic credentials,<sup>10</sup> must reduce any doubt that Berg came to regard jazz positively; and the revelation that Schoenberg's love of jazz – obliquely alluded to earlier<sup>11</sup> – features only summarily in this actual source, and to support remarks about Berg, highlights the latter's liberality.

An overwhelming fact of exposure to jazz nevertheless seems inconclusive as proof of Berg's inclination. Even a very positive remark in isolation fails to prevent the references to radio in the primary literature, however respectable, from appearing slight as grounds for more than speculation. Gramophone records, in contrast, mark a positive option to listen, indicating the probabilities clearly when Morgenstern states:

My son was six years and two months old when Alban died. But he remembers 'Uncle Alban'. Firstly, because Alban was the only one of my friends at that time who could boast of owning an automobile, so the black Ford Cabriolet with its white roof became my son's obsession. But he had a more important reason to remember Alban, because on the occasion of every visit the composer would give him gramophone records. That was when Dan was only three years old. Alban noticed that the boy was particularly attracted to jazz records, which made Alban – himself a jazz enthusiast, who often enjoyed listening – provide the child with jazz too. Once, Alban played a trick by giving him a particularly noisy record (as a practical joke)... As usual, Alban put the present on the turntable and Dan stood quite near to see what was going on. But as the dreadful sound started up, he jumped backwards into my arms, seeking protection, and put his fingers in his ears... When the worst was over and he had calmed down...I honestly thought I would have to comfort a remorse-filled Alban. But instead I found him beaming and quite delighted. "I have always considered your son unusually musical, but I didn't realize he was as musical as that. Did you know, Soma, that the first time Mozart heard a trumpet, he fainted?" My



son did indeed become musically accomplished. He is no Mozart, but his passion for jazz has become his life. He is a music critic, a specialist in jazz to be precise, and for many years has been Chief Editor for the jazz magazine, *Down Beat*.<sup>12</sup>

Reminiscences by the author's son Dan acknowledge Berg, yet without confirmation or denial of this professionally significant account, describing the composer as a family friend who, revered as a musician, gave him no more than a set of records of *Eine Kleine Nachtmusik*.<sup>13</sup> Dan's editorship of his father's memoir nonetheless points to an awareness of the jazz records,<sup>14</sup> a likelihood heightened by communication with the present writer. In that communication, Dan describes his memory of a Jack Hylton concert in Vienna, represented by the passage cited in Chapter One,<sup>15</sup> as seeming to contain a trace of awareness that Alban and Helene Berg came along as companions.<sup>16</sup>

The doctrinaire rigidity of Adorno towards jazz thus once again proves inadvertently revealing,<sup>17</sup> giving credence to Helene Berg in support of Soma's Morgenstern's account.<sup>18</sup> Soma greatly confirms the relevance of his son Dan's account of jazz in Austria, and convincingly suggests that Berg had a habit of buying jazz records for professional, artistic purposes, which would create a surplus from which to dispense gifts. Berg's letter of 1929 very much provides grounds for viewing his inclinations towards jazz as positive,<sup>19</sup> and the impression of an active, progressive enthusiasm holds. Unlike Mahler who, apart from an arguable link with the tango in the second movement of his Seventh Symphony,<sup>20</sup> never escaped nostalgia for the *ländler*, Berg emerges as sympathetic to fashionable trends. The period 1928-1933 especially seems an interstice, after a release from reticence over an increasingly sophisticated genre, yet prior to Nazi suppression, when his interests and jazz may well have converged.

Exposure to jazz-related music during Berg's travels as a celebrity thus seems by the 1930s to have acquired a positive, indeed an amiable ring, as a letter by the composer to his wife readily suggests. In this letter, Berg gives an account of a meal with Darius Milhaud and others during a trip to Brussels in 1932 for a performance of *Wozzeck*:

Last night we had mushrooms on toast and lamb cutlets, and listened to a pleasant jazz band. In this beautiful land they also have fine beer and wonderful coffee, it's not exclusive to Munich and Vienna!<sup>21</sup>

In this account, Berg presents jazz as part of an environment marked by camaraderie and good living, which his purchase of a motorcar in 1930 too would have reflected. Berg's evident friendship with Milhaud, who espoused jazz as overtly as imaginable for a classical composer in those days, even acting as an impresario for Cole Porter,<sup>22</sup> clearly counts as significant. In showing Berg's pleasure at connecting jazz with fame and good living, this letter calls into question John Russell's silence *vis à vis* cabarets, shows and nightclubs, despite the allusions to luxurious restaurants in a description of visits by the composer to Berlin with the conductor Erich Kleiber.<sup>23</sup> Especially in view of Berg's interest in the Viennese *demimonde* during the earlier years, the idea of him as ill-disposed to metropolitan nightlife later on seems over-fastidious and odd.

This impression permits easier consideration of other circumstantial elements, such as the account by Edward Jablonski of Berg's meeting with George Gershwin in 1928:

The Viennese atonalist and the American rhapsodist took warmly to one another. Gershwin was asked to play and Berg was delighted, but then suddenly Gershwin stopped; he felt uncomfortable playing show tunes, even the *Rhapsody*, after Berg's cerebral quartet. Berg encouraged him to continue playing, reassuring him with, "Mr. Gershwin, music is music".<sup>24</sup>

While Gershwin's fame and wealth may well have generated an ability on the part of others to access extraordinary reserves of tact, this writer indeed suggests a sincerity

on the part of Berg, as a composer who showed an interest in contemporary fads and fashions. Perhaps through the inevitable dislocation of Austrian archival resources as a result of World War Two, however, Berg's motor car, country house and love of football,<sup>25</sup> plus glimpses of an inclination to respond to jazz find little broader tally in any mention of the activities necessary for him to negotiate the new forms of popular music. Direct evidence seems to emerge in Janet Naudé's report of commercial sheet music for an American popular tune located among Berg's compositional sketches:

There is a printed copy of *Tea for Two* from Vincent Youman's musical, *No, No, Nanette*, amongst the *Lulu* sketches, but it is not apparent in the final version.<sup>26</sup>

The stylistic plainness of this song nevertheless highlights a lack of useful documents in this area of investigation and so the growing importance of circumstantial evidence.

These reservations notwithstanding, therefore, the scope for speculation as regards the idea of Berg's music as a form of evidence starts to expand much more positively on considering the visit from America to Vienna in 1928 – the year of Gershwin's visit to that city – by the black variety star, Josephine Baker.<sup>27</sup> Her visit coincided with the period in which, ostensibly through contractual stipulations,<sup>28</sup> Berg rejected the play *Und Pippa Tanzt!* by Gerhard Hauptmann as the basis for his second opera, choosing instead the risqué plays *Erdegeist* and *Der Büchse des Pandoras* by Frank Wedekind, and as a result commencing work on *Lulu*. Louise Brooks who starred in Pabst's film of the plays links Baker to the girl-child Lulu;<sup>29</sup> and Berg, who would have known of the scandal and outrage that the visit precipitated, very probably sensed an affinity of the ingénue black star with the primal African element that the Viennese poet, Peter Altenberg had celebrated twenty years previously in his book, *Ashantee*.<sup>30</sup> In any case, Berg clearly felt no little enthusiasm for 'primitive' trends in modern popular culture,

including varieties of jazz, whether live, recorded and transmitted, that would come his way by accident or design. Such enthusiasm increases the likelihood of influence.

## 2.1 Obvious responses to jazz by Berg as a composer

The 'openness' over Berg's approach to jazz exhibited by his early biographer, Hans Redlich, while undermining T.W. Adorno's view, concentrates only on the parodistic vignettes featured in the composer's concert aria *Der Wein* and second opera, *Lulu*.<sup>31</sup>

A surprising novelty [in *Der Wein*] is the use of jazz instruments and jazz rhythms, for the first time in Berg's work. It is remarkable enough that jazz elements could be integrated at all into Berg's mature idiom.<sup>32</sup>

This writer leads the field in avoiding any question about elements of jazz-similitude that might emerge in the main body of the composer's work. Redlich additionally – but of course not in the least surprisingly – attaches a pejorative tone to his account:

Jazz is used in *Der Wein*, as later on in *Lulu*, as a sound symbol of moral decay and depravity. It remains here and later a medium for the characterization of special social conditions.<sup>33</sup>

An echo of this idea occurs with Mosco Carner, who attempts to elaborate as follows:

Though we know that he liked to listen to good jazz on the radio, yet, to judge from *Lulu* where it is used to characterize the sham, meretricious atmosphere of the theatre, Berg seems to have associated it with something socially inferior and common. This is also the case with the Tango in *Der Wein* where in the first song it serves to illustrate a plebeian Sunday crowd and the banal informality of the domestic scene.<sup>34</sup>

The emphasis on parody persists more recently with Patricia Hall, who says of *Lulu*:

Apparently the use of jazz idioms did not come easily to Berg, for he resorted to using a 'self-help' booklet for jazz entitled *Das Jazzbuch*. Moreover, its annotations include careful underlinings in sections such as 'How to orchestrate a jazz band'.<sup>35</sup>

Ironically, interest in the broader sonic canvas arises somewhat with Adorno, who at least seems willing to admit that jazz contributed to the conception of Berg's music:

He did not simply withdraw from the experience of jazz: the sound of the *Lulu* orchestra and the cloakroom scene could scarcely have been conceived without it.<sup>36</sup>

The strongest acknowledgement of broader possibilities comes from Mark DeVoto:

Another common aspect between *Der Wein* and *Lulu* is jazz, which Berg listened to frequently on the radio, and whose spirit, symbolized especially by the override, pungent sound of the alto saxophone, penetrates both works.<sup>37</sup>

The current literature thus divides into: those who acknowledge Berg's interest in jazz but do not seem able to hear influences beyond parody based on 'jazz instruments and jazz rhythms';<sup>38</sup> Adorno, whose wider sensibility with regard to similarities refuses to admit Berg's enthusiasm; and DeVoto, who seems prepared to recognize the issues of influence and enthusiasm together. In terms of a full agenda of investigation implied by this last writer, the issue of possible deeper correspondences with jazz in Berg's music finds no place in the scholastic reckoning. A total neglect of this subject reigns.

Allen Forte's paper 'Reflections upon the Gershwin-Berg Connection' provides an especially acute illustration of this fact. Published in 1999, his work cannot represent a low sensitivity to jazz, attempting on the contrary to show even-handedness by drawing attention to the injustice of neglect shown for this episode of musical history:

These facts seem to be unknown, at least among scholars in the academic community, because the Berg people are not interested in Gershwin, and the Gershwin people are not interested in Berg.<sup>39</sup>

Forte nevertheless omits to realize the obvious reflexive potential of his title, for 'Did Berg's music influence Gershwin?' appends to a discussion of Gershwin's possible debt to a Marie's lullaby from Act One, Scene 3 in *Wozzeck* in his song 'A foggy day in London town', as preamble to an account of the two composers meeting.<sup>40</sup> This approach loads Forte's account in such a way as to lead from about halfway into an inquiry over Gershwin's debt to Stravinsky and other composers, as if under another

**EXAMPLE 2.1**Berg, *Lulu*, Act Two, Scene 2, bars 1135-6

[ Andante ]

Strgs./ Ww. ↓

*f*

Ww. --->

[ Moderato ]

Youmans, 'Tea for Two', refrain, bars 1-2

Pic - ture you up - on my knee; Just

heading.<sup>41</sup> Forte does not even briefly cross-examine his title *vis a vis* influences that Gershwin might have had on a subsequent work by Berg such as *Lulu*, a fact that suggests difficulty in transcending the jazz-classical divide to any fundamental extent.

Even with 'Tea for two' as collateral,<sup>42</sup> an inquiry about *Lulu* might well draw a blank. The emphatic way in which Gershwin complies in his songs to the popular demand for refrains could not have interested Berg, while the American composer's attempts at concert music, such as his *Rhapsody in Blue* or Piano Concerto in F, exhibit a melodic stiltedness that would avert sympathy in this area further.<sup>43</sup> The subtler, insinuating work of Cole Porter only shows how little individuation in the structuring of popular melodies can throw light on Berg. The oblique harmonic grounds that Forte adduces to show a debt to *Wozzeck* in Gershwin's *Porgy and Bess* nevertheless allows speculation over whether debt by Berg, if not to *An American in Paris* then to 'Tea for two', subsists in Act Two, Scene 2 in *Lulu* at bar 1135. At this point, Berg features a powerful descant melody that, aptly accompanying the secluded

lovmaking of Alwa and the heroine of this opera, corresponds, with octave displacements as shown in Example 2.1, via the first three notes in each case to the tune by which Vincent Youmans made a name in his show of 1924, *No, no Nanette*.<sup>44</sup>

The deficiency that Forte criticizes and succumbs to thus emerges as a concomitant to the emphasis on parody. Since commentators seem not to conceive of a possibility of jazz-related influence other than as regards the segmented vignettes provided to point to that idea, they can only speculate on the influence that Berg may have exerted on jazz musicians. Berg possibly anticipated such crudity of stylistic emphasis in the act of composition. The ragtime pastiches in his *Der Wein* and *Lulu* would have offered a way, as in the case of Schoenberg's *Variations*, Op.31 but for opposing reasons,<sup>45</sup> of feigning conformity to the norm. That method need not at all have undermined a more sympathetic approach to jazz on Berg's part, therefore, but may have usefully created a distraction in the body of his works – for colleagues at the time but perhaps also for later commentators – from deeper influences that the genre may have exercised. From this perspective, certain aspects of Berg's music come more prominently to the fore.

### **2.1.1 Debt to jazz in Berg's music on the basis of tonality**

While a growing interest by jazz musicians from the 1930s in 'progressive' classical tonality, notably with Duke Ellington's as regards Debussy,<sup>46</sup> may seem to preclude the idea of even the most developed tonality in jazz at that time acting as a source of influence on classical composers with the most chromatic tendencies, a number of tonal traits arise in Berg's music that in a demarcated, mannerist way suggest a response to that genre on his part. In *Wozzeck*, curiously, the chromatic pentatonic

scale, B $\flat$  D $\flat$  E $\flat$  E $\natural$  F $\natural$  A $\flat$  that provides the pitch relationships of the drowning scene of

### EXAMPLE 2.2

Berg, *Wozzeck*, Act Three, Scene 4, bars 262-3

PROBABLY AN ACCIDENTAL PARALLELISM

[ nicht schleppen  $\text{♩} = 80$  ]

Pentatonic scale permuted as the 'blue' minor

B $\flat$  D $\flat$  E $\flat$  F $\natural$  A $\flat$

Chromatically raised tone - E $\natural$  - as often employed in slower forms of blues passagework

Detailed description: The image shows a musical score for a harp. The top staff is labeled 'Harp' and has a dynamic marking 'p (deutlich)'. The music consists of a series of chords and single notes. A box labeled 'PROBABLY AN ACCIDENTAL PARALLELISM' points to the first few notes. Another box labeled 'Pentatonic scale permuted as the 'blue' minor' points to a sequence of notes: B $\flat$ , D $\flat$ , E $\flat$ , F $\natural$ , A $\flat$ . A third box labeled 'Chromatically raised tone - E $\natural$  - as often employed in slower forms of blues passagework' points to a specific note in the sequence.

### EXAMPLE 2.3

Handy (to words by the composer), 'Memphis Blues' [1913], refrain, bars 26-29

[ Moderate blues tempo ]

'blue' notes as chromatic auxiliaries

it sets me wild to hear that love - ly tune a - gain, those Mem - phis Blues. -

Detailed description: The image shows a musical score for 'Memphis Blues'. The top staff is a vocal line with lyrics: 'it sets me wild to hear that love - ly tune a - gain, those Mem - phis Blues. -'. The bottom staff is a piano accompaniment. A box labeled '[ Moderate blues tempo ]' is at the top left. A box labeled ''blue' notes as chromatic auxiliaries' points to a specific note in the vocal line.

Act Three, Scene 4, conforms as shown in [Example 2.2](#) to the kind of blues scale that latterly acts as a mainstay in heavy rock music.<sup>47</sup> This scale nonetheless links Berg's music to jazz only tenuously. As a contributory aspect of jazz styles, the blues reached Europe in 1913 only in sheet music form as 'Memphis blues', and in characterizing the idiom by means of phrase structure and chromatic auxiliary notes, as in [Example 2.3](#), would almost certainly not have impinged on his artistic sensibilities at the time.

Even by the 1930s, the florid, blues-related arabesques that formed the staple of jazz improvisation had not developed any tonal aspect that Berg had not long previously derived from German and Italian Romanticism.<sup>48</sup> Berg would certainly have noticed



the increasing sophistication of jazz harmony as a result of the commercial feedback system during the period leading up to 1935,<sup>49</sup> but in general terms could have drawn

### EXAMPLE 2.4

Berg, *Der Wein*, bars 15-18

[Sehr langsam]  $\text{♩} = 36-44$

Hauptzeitmaß  $\text{♩} = 46-52$

de facto major triad

de facto flattened third - 'blue' note

*p* Des Wei - nes Geist be - gann im Fass zu sin - gen: "Mensch, teu - rer Aus - ge - sto - sse - ner,

### EXAMPLE 2.5

Berg, *Lulu*, Act One, Scene 2, bars 615-6

De facto, blue note conflict:  $E\sharp$  as flattened third

Lento  $\text{♩} = 58$

*mf* Strings *con sord.*

Chord of D flat major

no obvious sense of inspiration from a tonal line of approach that he had discarded. Interestingly, as shown in [Example 2.4](#), however, the last four notes of Berg's twelve-tone row for *Der Wein* imply minor-major elements that, over and above the more general rapprochement with diatonic music implied by his dodecaphonic approach, may represent a deliberate use of a 'blue' flattened third relation as an allusion to this aspect of jazz style. Likewise, as shown in [Example 2.5](#), a possibility attaches to the rising  $E\sharp$  against  $F\sharp$  as blues-related at the start of the 'love theme' first heard at bar 666 in Act One, Scene 2 from *Lulu*, arguably a matter of far greater importance than any conceivable reference to Mahler as a composer partial to major-minor antitheses.

In accordance with this perspective, one tonal feature stands out unequivocally as the assimilation by Berg of a jazz commonplace: namely, the chord of the added sixth.<sup>50</sup>

An added sixth chord occurs at the end of the *Lulu-Suite* Variations, a moment that evokes a jazz band milieu but that does not feature in the opera. More significantly, Berg uses an added sixth to close his Violin Concerto. This jazz connection receives astonishingly little attention, especially given a general sonority imbued in this way and enlivened, as shown in Example 2.6, by Berg's mimicry of the ascending clusters by which a nightclub pianist might finish a song.<sup>51</sup> Carner relates the chord in Berg's

### EXAMPLE 2.6

Berg, Violin Concerto, II/2, bars 227-330

[Adagio ♩=54]

The image shows a musical score for Example 2.6, titled 'Berg, Violin Concerto, II/2, bars 227-330'. The score is in 2/2 time and marked 'Adagio' with a tempo of ♩=54. It features a Solo Violin part (labeled 'Solo Vn.'), a Harp part (labeled 'Hn.'), and a Double Bass part (labeled 'Db.'). The Solo Violin part begins with a triplet of eighth notes (marked '8va' and '3') and continues with a melodic line. The Harp part features ascending clusters of added sixth chords, marked with dynamics 'p' and 'pp'. The Double Bass part also features ascending clusters of added sixth chords, marked with a triplet (marked '3'). A text box with a pointer indicates: 'Ascending clusters of added sixth chords on harp and upper wind instruments in the manner of a nightclub pianist'. The score includes various musical notations such as slurs, accents, and dynamic markings.

work to the one at the end of Mahler's *Das Lied von der Erde*,<sup>52</sup> while Anthony Pople refers cursorily to 'a harmonic progression found frequently in 1930s dance-band arrangements'.<sup>53</sup> The ending to Stravinsky's *Symphony in Three Movements* notably excepting, composers may try to minimize the vulgar ambience of this chord by not using a jazz-redolent progression, for, with an added sixth that has no timbral focus, the rhetorical bias of a long, structured piece holds sway. Mahler had helped, along with Debussy, Scriabin, and even Schoenberg, to establish this harmony as one for serious musicians to accept.<sup>54</sup> As a result, the conclusion to *Joie du sang des étoiles* from Messiaen's *Turangalila Symphony* conveys very little irony for a modern work.

Berg on the other hand creates a profound stylistic ambiguity in his Violin Concerto by placing the added sixth, as shown in [Example 2.7](#), after a flattened VI9 chord on

### EXAMPLE 2.7

Berg, Violin Concerto, II/2, bars 227-330

(De facto, C# as 'blue' flattened third)

[Adagio  $\text{♩} = 54$ ]

Solo vn.  $8^{\text{va}}$   $3$   $p$   $pp$   $p$  *loco*

Brass  $p$   $pp$   $p$

Hrn.

Cb.  $3$

Chord of  $\flat\text{VI},9$  in  $\text{B}\flat$  major

Chord of  $\text{I},6$  in  $\text{B}\flat$  major

### EXAMPLE 2.8

Ellington, 'Sophisticated lady' [1933], refrain, bars (29)-32

[Moderato]

And when no - bo - dy is nigh you cry. - -

Piano  $3$   $rit.$

Chord of  $\flat\text{VI},9$  in F major

Chord of  $\text{I},6$  in F major

F# at bar 227. Gunther Schuller connects this passage to the music of Duke Ellington:

It is also interesting to note that the here frequently used move to the lowered sixth step ( $\text{I}-\flat\text{VI}-\text{I}$ , or  $\text{I}-\flat\text{VI}-\text{V}$ ) – a favourite of Ellington's ever since his 1926 *If You Can't Hold the Man You Love* and *Misty Mornin'* of 1928 (see *Early Jazz*, 323, 324) – is the same sublime cadential progression with which Alban Berg concludes his Violin Concerto of 1935.<sup>55</sup>

As shown in [Example 2.8](#), although this description does not mention superfluties to the tonic chord, the flat submediant gives an unmistakable signal of contemporary jazz-related debt by resolving, in a way that these days seems predictable, on a chord

enriched by an added sixth, a progression that concludes the 1933 score of Ellington's 'Sophisticated lady'. Given that this chord imminently presaged Berg's death as the last effect that he wrote in a completed work, Pople's remark seems extremely weak. As the expression of a perceived and obvious fact, therefore, to view this Violin Concerto in terms of an ironic combination of traditional European values with modern American ones represents the only relevant manner of aesthetic interpretation.

Accordingly, Berg places valedictory elements, such as the symbolic ascent in the solo at bar 226 and fragments of Bach chorale, adroitly in a jazz-harmonic context, a strategy that Arnold Whittall almost uncovers when comparing this concerto to *Lulu*:

That very specifically Bergian tension between the sordid (Lulu's murder) and the sublime (the Countess's brief but exalted declaration of love) at the end of the opera is paralleled at the end of the Violin Concerto by the more abstract but no less palpable combination of sensuality and spirituality, acknowledged by Berg in his simultaneous use of the markings 'religioso' and 'amoroso' (bar ii/222 [five bars prior to the added sixth]).<sup>56</sup>

This writer nevertheless misses an opportunity to give Pople's comment real depth:

Berg may have been particularly progressive in his openness to such modern media as jazz and the cinema and his willingness to bring them within the orbit of his own kind of High Art. Yet it is the tendency of his music – in particular, of his harmony – to gravitate towards sonorities that still suggest the old, romantic world of consonance and dissonance that restrains his progressiveness and enriches his vocabulary.<sup>57</sup>

Whittall clearly remains bound by the limitation of 'jazz' to mean jazz parody. Berg in fact often exhibits a critical attitude towards the pentatonic scale to which the added sixth relates, as shown by his use of the corrupting element, E $\flat$  as a crucial part of the hexachord in *Wozzeck*,<sup>58</sup> and by use of the simple pentatonic scale to represent lesbian perversity in *Lulu*;<sup>59</sup> yet although Berg may have seen pentatonic music in classical or popular music as a harmonic form of infantilism, he could not have used this chord, uncorrupted and at such a fatal moment, except to anticipate a state of transcendence.

### 2.1.2. Debt to jazz in Berg's music on the basis of instrumental timbre

If a harmonic connection with jazz seems otherwise irrelevant, then similarities in the composer's use of instrumental timbre provide greater opportunities for speculation, as with his use of muted brass, a timbre extremely fashionable in popular music from the 1920s.<sup>60</sup> In the classical domain, Mahler, Strauss and Debussy had previously established muted trumpet as an effect of great piquancy. As a result, use of this timbre by Schoenberg and Webern occurs with little sense of jazz connection. With Berg, by contrast, the acute tonal ambiguity of his style suggests that, especially when

#### EXAMPLE 2.9

Berg, *Lulu*, Act Two, Scene 2, bars 1026-30

The image shows a musical score for Example 2.9, featuring a trumpet and trombone part. The score is written on a grand staff with a treble clef for the trumpet and a bass clef for the trombone. The tempo/mood is indicated as "[ Un poco tranquillo, ma animato ]". The instrumentation is marked "Tpts. con sord." for the trumpet and "Tbns. con sord." for the trombone. The music begins with a dynamic marking of *p* (piano). The trumpet part starts with a whole rest, followed by a series of chords and melodic fragments. The trombone part plays a rhythmic pattern of eighth notes. The score includes various accidentals and dynamic markings, and is annotated with "con sord." in boxes.

applied homophonically, this effect permitted him an approach to the fashionable vernacular. The listener thus needs little effort to link the trumpet choir at bars 1026-30 in *Lulu* Act Two, Scene 2, shown in [Example 2.9](#), to band arrangements of the times, and to spot the affinity with old jazz tunes on record.<sup>61</sup> Unsurprisingly, Berg's use of unmated trumpet does not usually suggest jazz, for, despite the emergence of this instrument as a generic mainstay via players who did not use mute such as Louis Armstrong and Bix Beiderbecke,<sup>62</sup> the classical sense of open bell remains too strong.

#### EXAMPLE 2.10

Berg, *Lulu*, Act Three, interlude to Scene 2, bars (730)-(731)

Affettuoso ♩=ca 92  
Tpt. *senza sord.*

[*molto f* alles ubertonend]

As shown in [Example 2.10](#), an arguably jazz-like arabesque breaks out on un-muted trumpet at bar 730 in the interlude to Act Three, Scene 2 of *Lulu*, at which point Berg utilizes the typical flatness of trumpet tone in an effect powerfully evocative of back-street tawdriness. Jazz identity nevertheless hinges on a use of mutes in dance bands.

This fact draws attention to the extent to which the ‘buzzing’ effect created by the use of a mute with a brass instrument connects with the emergence of jazz as a genre not at all inimical to the espousal of noise. John Storm Roberts makes this point clearly:

A most fundamental feature of jazz style is the use of a variety of tonal or timbre techniques instead of the ‘pure’ tone of the European classical ideal. The use of a wide range of tonal qualities – sharp, smooth, and piercing – of varied vibratos, and of special effects like growls, shakes, and dirty notes of all sorts is a noticeable part of jazz, to which the use of mutes with brass instruments for special effects is related.<sup>63</sup>

In a non-jazz, expressionist context, Berg’s use of muted brass may converge on jazz practice in provocative-sounding passages, as occurs in *Wozzeck*, Act Three, Scene 1, at bar 42, with Marie’s half-anxious, half-petulant outburst at the absence of her common-law husband. Such offensiveness unmistakably overlaps with the fact of the use of dissonance in modern music as entirely capable of affording a jazz-related link:

There are no stranger instrumental combinations and effects in [Schoenberg’s] Five Orchestral Pieces than there are in much ‘jazz’ music and its derivations and there are no more harmonic dissonances than is to be found in modern works that are comparatively popular, such as *Pacific 231* of Honegger or *The Music of the Machines* of Mossolov which never fail to bring the house down whenever they are performed.<sup>64</sup>

Although often cited as a composer of more ameliorative inclinations in harmony than Schoenberg,<sup>65</sup> Berg did not hesitate to load his musical sonorities with conflicting overtone layers calculated to unsettle. In an expressive context such as this one, his use of muted brass, especially trumpets, arises as at least a potential meeting point for the jazz-related music either already then current, or just around the historical corner.

If muted trumpets may seem vague as a link with jazz, due to other areas of interest in that timbre, however, then the saxophone provides the clearest of generic signals. Even in the 1920s, prior to the age in which the saxophone would blossom into the medium for jazz *par excellence* via practitioners such as Coleman Hawkins, Lester Young and later Charlie Parker, the instrument acquired that cachet.<sup>66</sup> In which case, an odd silence reigns over Berg's use of this instrument. The entry for saxophone in the first edition of *New Grove* omits any mention of him in an otherwise exhaustive list of composers who have utilized this instrument from Bizet to Stockhausen.<sup>67</sup> This lacuna may well reflect a wider reluctance. Adorno, for example, writes no more than:

For years he pondered the use of the saxophone, to which he was ready in an instant to surrender. Not ready, though, to surrender to jazz. The consequences he draws takes the fun out of it. As one would later say in Brechtian terminology: those aspects are alienated and off-set through construction.<sup>68</sup>

Redlich refers briskly to Berg's 'use of the saxophone even in the Violin Concerto'.<sup>69</sup> These views – the most forthcoming apart from the fleeting reference by DeVoto<sup>70</sup> – suggest that introducing the saxophone to a symphony orchestra matters little, or that the timbre of this instrument does not instantly conjure up a background of innovation and controversy.<sup>71</sup> The fact that Berg used the saxophone idiomatically in every work from 1929, in the process providing the only firm foothold for this instrument in the classical repertoire, finds no recognition; the musical world does not seem interested.

This omission finds reflection in the fact that Stravinsky, a composer whose link with jazz gained much greater recognition,<sup>72</sup> avoided the saxophone and used a bassoon in place of that instrument in his *L'histoire du soldat*, despite the debt to jazz claimed:

My choice of instruments was influenced by a very important event in my life at that time, the discovery of American jazz...The *Histoire* ensemble resembles the jazz band in that each instrumental category – strings, woodwind, brass, percussion – is represented... The instruments themselves are jazz legitimates, too, except the bassoon, which is my substitute for the saxophone. (The saxophone is more turbid and penetrating than the bassoon, and I therefore prefer it in orchestral combinations, as it is used in Berg's *Violin Concerto*, for instance, and, especially the bass saxophone, in *Von Heute auf Morgen*.)<sup>73</sup>

Although *L'histoire du soldat* dates from a time when the saxophone had to contend for a role in jazz,<sup>74</sup> to cite bass rather than tenor or alto, shows Stravinsky's aloofness from the spirit of the instrument. Schoenberg's *Von Heute auf Morgen* furthermore stands as an example of how to use the saxophone without evoking jazz, and shows an impulse to neutralize any feeling of glamour by using 'decadent' resources for moral ends. In line with stylistic traits of this composer already discussed,<sup>75</sup> jazz associates negatively; hence the emphatic riposte to Berg's *Lulu* represented by *Moses und Aron*, in which, if musically an oblique reference, the 'Dance round the Golden Calf' very probably represents a jazz orgy supervised by the despised 'Berg'-like figure of Aron.

Berg, by contrast, obviously appreciated the saxophone and noticed a discrepancy in works by composers who did not. Soma Morgenstern recalls him at a rehearsal for a performance of Webern's Quartet, Op.22, conducted by the composer of that piece:

Webern, who was a perfectionist, went through the first movement patiently and thoroughly, and raised his arms for the second movement. He broke off at the fifth bar, however, to correct the saxophonist: "Can't you see the instruction 'Very swinging' [Sehr Schwungvoll]?" He then spurred him on, calling out: "Swinging! Saxophone!! Sex appeal!!!" Suddenly I heard nearby a suppressed noise coming from Alban's chest. It sounded like the growl of a Saint Bernard. I looked at him. His face was blue. Fearing the onset of an asthma attack, I took his hand and we left the room. Outside we fell into each other's arms laughing.<sup>76</sup>



Berg's attitude in this passage fits well with one who would transform the saxophone from the most despised parvenu in orchestral history into the acoustic star of his longest work, *Lulu*, and a vehicle of expressiveness and profundity. While composing *Lulu*, Berg studied the basis of saxophone technique with the assistance of Willi Reich and Leonard Marker, two pupils of his who could play the instrument.<sup>77</sup> As a result,

### EXAMPLE 2.11

Berg, *Lulu*, Prologue to Act One, bars 49-52

poco animando

Alto sax.

Pfte.. *p espress.*

*p* *mp* *mf*

*p espress.* *mp* *mf*

*con ped.*

although the composer assimilates this instrument to the orchestra for *Lulu* with some discretion, the moments at which the saxophone takes centre stage – as in the solo at bar 49 in the Prologue shown in [Example 2.11](#) – stand out clearly and appealingly. No other composer has ever even attempted this particular feat of orchestral ‘lubrication’.

Berg would nevertheless have anticipated the *frisson* that this obligato for his opera would create, for in the 1920s, the saxophone acquired a very questionable reputation.

Wally Horwood gives an impression of the cultural impact in this striking description:

The impact on public awareness of hordes of inept, plangent electric guitarists in the 'sixties was but a pale shadow besides the furore created by the saxophone in the 'twenties. Something happened to change this obscure, little-known but well-regarded instrument almost overnight into what many saw as a hideous monster created to corrupt the morals of youth.<sup>78</sup>

The scale and artistic gravity of *Lulu*, as showcase for this instrument, exacerbate the matter. Berg also teases the sensibilities of his audience further in this work through a supplementary use of vibraphone, which contributes to the mixture of sonorities that provide the heroine of this opera with an acoustic metier. As George Perle points out:

Flute, vibraphone, and saxophone are the timbres most consistently associated with Lulu in her role as coquette and temptress.<sup>79</sup>

As an instrument also linked with jazz-related entertainment and dependent as regards timbre on electricity,<sup>80</sup> the vibraphone enhances the sensuous effect of saxophone as the core sonority of this work in a way that transfers the texts written by Wedekind prior to any 'jazz age' forward to Berg's time.<sup>81</sup> Whether through use of discord or of jazz-associated timbre or both, therefore, 'teases' does not seem an extreme as a term to indicate the initial reception of the music from *Lulu* in Germany. A letter by Berg to Erich Kleiber in 1933 about plans for the opera indeed shows pertinent awareness:

When the new opera is produced in the Germany of today...there'll be an outburst of the most colossal indignation!<sup>82</sup>

While plans to stage the opera collapsed, Kleiber conducted the Symphonic Pieces from *Lulu* in Berlin in 1934 at a concert attended by no less a political personage than Hermann Goering. This event proved a final point of musical resistance to the Nazi regime, and led instantly and permanently to Kleiber's departure from Germany.<sup>83</sup>

Since the saxophone features similarly – if without vibraphone – throughout the other two of Berg's last works, a question sensibly arises as to why his *Der Wein*, Violin Concerto and *Lulu* should not deserve an epithet as 'The Saxophone Pieces'. As still the only major works in the classical repertoire to take this instrument seriously, the 'Pieces' show the tardy usage thereof by Stravinsky in his *Ebony Concerto*, 1945, as an expedient for a commission,<sup>84</sup> and should draw attention, if only in terms of an

adaptation to the 'swing' era, by means of timbre, as providing the possible locus of a genuinely idiomatic convergence on jazz. The parodies in *Der Wein* and *Lulu* deserve mention at this point, in both of which works Berg simulates an already dated kind of 'jazz-band' by means of saxophone, muted brass, piano, percussion and – in the opera – banjo; but although for the off-stage jazz in *Lulu*, Act One, Scene 3 he uses a larger

combination of these instruments, the remote physical placement thereof to represent a theatre band heard from a dressing room merely creates a generalized, jazz-like blur.

Viewed as regards the possibility of a deeper level of response to jazz, the impact of Berg's music in a superficial sense thus depends on his capitalization on the strong link with that genre created by the saxophone. Superficial aspects, whether by means of timbre or tonality, nevertheless have greater potential for association in this area, at least subliminally, when released by a powerful form of trigger mechanism. Ironically too, superficial elements may reciprocally act at such an aesthetic juncture as the trigger for deeper levels of awareness. Given such a release, all aspects of jazz-similitude come into play, superficial ones that have drawn attention in this study already and others not yet reviewed. To judge from the foregoing, therefore, the question gives rise to an answer in the affirmative as to whether any documentary or circumstantial factors relating to Berg's activity as a composer arouse curiosity about the deeper influence that jazz may have had on his music. The issues now open for investigation relate to whether any signs of response to jazz on Berg's part mark an autonomous field of reference emerging with the more complex issue of jazz rhythm.

### **2.1.3 Debt to jazz in Berg's music on the basis of rhythm**

Although instrumental timbre may contribute in the imitation of jazz to an affective musical nexus with great characterizing force, debt to that genre in any culturally apt sense depends on rhythm. Moreover, as has already featured as a strong implicit part of the investigation pursued so far,<sup>85</sup> the element of rhythmic activity known as cross-accentuation, or put more simply, 'syncopation', provides above other temporally-related elements a confirmable stylistic *point d'appui*, as Frank Tirro amply testifies:

The most significant aspect of African music in America, as it might be applied to our considerations of jazz origins, is its rhythm. In this regard, Erich von Hornbostel posits a theory of tension and relaxation in African drumming which he uses to explain the importance of syncopation as a dominant element in the rhythm of black African music. He contends that the upbeat motion receives the stress or tension and the downbeat motion the relaxation; consequently, the sound is more positive on the off beats than on the beat. Combining this with a continuous metronomic pulse, typical... of West African music, results in a highly syncopated music.<sup>86</sup>

To the extent that jazz musicians accordingly regard the complexities of syncopation as a source of stylistic richness, Rudi Blesh, an early chronicler, highlights the need for correlation of this rhythmic element within a fixed and strongly emphasized pulse:

Rhythmically, two tendencies develop within jazz; both belong to the African side of the scales. One is that of perpetual syncopation and polyrhythm, the other that of stomping or of the stomp pattern. The former, with all its variety of syncopated figures, displaced stresses, suspensions and anticipatory-retardatory activity, is the original [black American] form of most church singing and of the marching band... The stomp pattern, which forces the melody into a rhythmic design, derives indirectly from the polyrhythmic drum patterns of West Africa.<sup>87</sup>

The inadequacy of 'stomp' alone as a sign of jazz nevertheless confirms syncopation as the stylistic basis. In spite of the fact that styles have arisen that reduce this aspect to a minimum,<sup>88</sup> the idea of a jazz style devoid of such irregularities makes nonsense; so, since testing an affinity to jazz means above all identifying rhythmic similarities, the amount of syncopation in Berg's music might well appear the fundamental issue.

With 'syncopation' taken to mean any kind of displaced onset, whether on a half-beat or at a moment defying easy aural rationalization, Berg's rhythm certainly exhibits at various points in his oeuvre a comparable degree of complexity to the varieties of pre-1935 jazz style: the fluid and imaginative kind that chance may have relayed to Berg from original sources;<sup>89</sup> or the banal and rhythmically rigid kind closely similar at root to ragtime and transmuted as dance music.<sup>90</sup> At this particular point, the ideas of

T.W. Adorno on the subject of jazz help to provide a means by which to plumb the art-or-entertainment divide noted in Chapter One.<sup>91</sup> His essay, 'On jazz' dates from 1936 and constitutes a German-oriented retrospective on the exact period of exposure by Berg to jazz, without succumbing to the 'entertainment-only' distortions prevalent in the 1920s or 'art-only' distortions today. Adorno constructs a taxonomy in which the 'modernity' of jazz entails a use of timbre and rhythm 'polarized along the lines of quality of mechanical soullessness or a licentious decadence'.<sup>92</sup> With the basis of jazz rhythm viewed as syncopation, the artistic flights of 'hot' music emerge as reliant on a licentious use of that element, the entertainment music that split into a 'salon' and a 'march-like' style as the 1930s loomed as by contrast reliant on a mechanical use.<sup>93</sup>

From this perspective, Berg's style evinces greatest rhythmic 'licentiousness' in the period up to but not including the commencement of the general propagation of jazz.<sup>94</sup> A passage at bars 105-6 chosen randomly from the 'Marsch' of his Three Orchestral Pieces, Op. 6 demonstrates this point, as in Example 2.12 overleaf. After *Wozzeck*, in the period in which at first a rapid, primitive and poorly-represented kind of jazz entered the scene, Berg's rhythms grow much simpler. In general terms at least, he plainly conceded in his Chamber Concerto, *Lyric Suite* and aria, *Der Wein* to the vogue after 1918 for rhythms compatible with neo-classicism, and with jazz as a 'neo-barbarism'. Berg nevertheless returned in *Lulu* and the Violin Concerto to a more complex approach, at a time in which a jazz increasingly supported by channels and techniques of propagation grew less frenzied and chaotic, so converging rhythmically on his style.<sup>95</sup> As shown further overleaf in Example 2.13, a passage of moderate complexity for a post-1917 work occurs at bars 1278-88 in Act One, Scene 3 of *Lulu*. Viewed as regards a sonic agglomeration of detail, these passages undoubtedly bring a

**EXAMPLE 2.12**

Berg, Three Orchestral Pieces, Op. 6, No 3 ('Marsch'), bars 105-6

The image displays a page of a musical score for 'Marsch' by Berg, Op. 6, No. 3, specifically bars 105-6. The score is arranged in a standard orchestral format with multiple staves. The instruments listed on the left include: 4 Oboes (Ob.), 4 Clarinets in B-flat (Cl. in Bb.), Bassoon (Fag.), 3 Bassoons (Fag.), 4 Trumpets (Tr.), 4 Trombones (Tbn.), 4 Horns in F (Hr. in F), 4 Drums (Dr.), 4 Percussion (Perc.), 2 Snare Drums (2 Str.), 2 Bass Drums (2 Str.), 4 Violins (Vcl.), 4 Violas (Vcl. get.), and 4 Cellos (Cb.). The score features various musical notations such as dynamics (cresc., decresc., ff, f, mf, p, pp), articulation (stacc., marc.), and performance instructions like 'nimmt Drp.' and 'ohne Drp.'. The key signature has one flat (B-flat), and the time signature is 2/4. The page number '103' is visible at the top left and bottom left of the score area.

classical through-composed tradition in a period still well prior to John Cage face to face with a jazz tradition for which improvisation has provided a crucial component.<sup>96</sup>

Although both the 'mechanical' and 'licentious' forms of syncopation present in these several periods of Berg's musical development constitute a marked degree of affinity with a notion of jazz parametrically reduced thereto, and represent in the appropriate

historical contexts a potential also for generic debt on that score, certainty of any firm kind over these matters must await further datum. The complexities in the composer's earlier works such as his String Quartet, Op. 3, Four Orchestral Songs, Op. 4 and Four Clarinet Pieces, Op.5 emerged in the textural aftermath of Wagner as inculcated by tutelage under Schoenberg, and without any direct form of historical relevance must remain part of the background. On the other hand, the rapid, driving beat that marked some jazz-related music to which Berg must have had access might hinder perception of any subtler similarities to his 'middle-period' works,<sup>97</sup> while rendering the plainer syncopations – except as occur in the jazz parodies – ambiguous in context. Berg's cross-metrical usage also remains overshadowed in this connection on account of the common idea – then and since – of jazz as a quick, incisive style in contrast to the slow, legato characteristic of his works.<sup>98</sup> The emphatic tempo giusto of jazz contrasts with Berg's frequent use of rubato too, so that an influence by ragtime-cum-jazz in his music appears either uncertain or slight when compared to other European composers.

Inter-cultural bids in this area, notwithstanding, by Krenek, Weill and Hindemith,<sup>99</sup> the more easy-going attitude to ragtime and jazz imitation by composers in the French domain such as Debussy, Satie, Ravel and Honegger led to a lively use of displaced accents for a degree of stylistic brokerage that the serious German tradition could not tolerate. Berg had at first reacted to jazz – as noted<sup>100</sup> – with a Teutonic kind of fastidiousness, a stance never relinquished by his pupil, T.W. Adorno, who, although acknowledging the strength of virtuoso performing and arranging capabilities in the jazz milieu,<sup>101</sup> considered 'rhythmic freedom' as an inescapable, pernicious chimera:

The syncopation [of jazz] is not, like its counterpart, that of Beethoven, the expression of an accumulated subjective force which directed itself against authority until it had produced a new law out of itself. It is purposeless; it leads



nowhere and is arbitrarily withdrawn by an un-dialectical, mathematical incorporation into the beat.<sup>102</sup>

The later attempt by Matyás Seiber to attempt a dismissive aesthetic science of jazz founded only on cross-accentuation shows the currency that this view must have had:

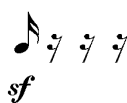
By now it will be clear that even the most startling rhythms, so puzzling when first met, can be traced back to these simple principles: super-imposition of groups of three in a system of four and the few types of syncopation which, in turn, can be partly explained as a hidden grouping of threes. So the rhythmical system of Jazz not only does not show a great complexity and variety, but on the contrary, is notorious for its exploiting *one* principle to its utmost limits.<sup>103</sup>

Unsurprisingly, therefore, Schoenberg responded to jazz, as cited,<sup>104</sup> by an aggressive, barbed display of syncopation in his Variations, Op. 31. If in a rhythmically milder way, the theatrically demarcated parodies in Berg's *Der Wein* and *Lulu* focus attention on this composer's idea of jazz not only by means of instrumental timbre,<sup>105</sup> but also by tango-based syncopations, hence mirroring observations by Adorno on the cross-accentual origins of jazz.<sup>106</sup> As already noted, however,<sup>107</sup> the benchmark for such jazz-related allusions, whether German or French, resided in the music of Stravinsky.

### 2.1.3.1 The syncopation in Stravinsky's music as an easily-regarded benchmark of jazz-similitude

In terms of the simplistic notion of jauntiness by which classical musicians may try to characterize jazz as a whole, syncopation implies not only displaced accents achieved by means of duration, but also a dynamic heightening through stress, articulation and tempo. This summary fits very well with Stravinsky's appraisal of his own approach:

The stylistic performance problem in my music is one of articulation and rhythmic diction. Nuance depends on these...For fifty years I have endeavoured to teach musicians to play



instead of



in certain cases, depending on style. I have also laboured to teach them to accent syncopated notes and to phrase before them in order to do so. (German orchestras are as unable to do this, so far, as the Japanese are unable to pronounce 'L'.) ...In the performance of my music, simple questions like this consume half of my rehearsals: when will musicians learn to abandon the tied-into note, to lift from it, and not to rush the semiquavers afterwards?<sup>108</sup>

Very naturally, therefore, Stravinsky already had on coming to Europe an approach to rhythm that would draw him into the early jazz sphere. The idea that a syncopation-based sympathy for jazz on Stravinsky's part has gained permanent currency emerges distinctly though extremely reductively in the account of Pierre Boulez – a musician with an exceptional sense of rhythmic aptitude and sophistication – who declares that:

...we need not be surprised to find that *The Rite [of Spring]*, composed 1912] has had little real influence, apart from a tendency towards the dionysiac and the musically 'naughty': nor that the best-known work of modern times is also a work without offspring. So much so that it was jazz, with its single poverty-stricken syncopation and invariable four-beat bar, that was able to take the credit for rhythmic renewal in music. (Was it Stravinsky himself who laid the false trail in *Ragtime*?)<sup>109</sup>

As an echo particularly of Seiber,<sup>110</sup> Boulez's dismissive attitude both to jazz and to Stravinsky's development in the wake of *Le Sacre du printemps* draws reductive aesthetic conclusions as regards the stylistic, especially the rhythmic affinity of both.

Soon after the emergence of jazz as an international genre, Stravinsky indeed showed an interest in trans-Atlantic forms by assimilating ragtime syncopation to a classical syntactical level in his *Ragtime for Eleven Instruments*, 1918. As the composer states:

Its dimensions are modest, but it is indicative of the passion I felt at that time for jazz which burst into life so suddenly, when the war ended. At my request, a whole pile of music was sent to me, enchanting me by its truly popular appeal, its freshness, and the novel rhythm which so distinctly revealed its Negro origin. These impressions suggested the idea of creating a composite portrait of this new dance music, giving the creation the importance of a concert piece as in the past composers of their periods had done in the minuet, the waltz, the mazurka, etc.<sup>111</sup>

**EXAMPLE 2.14**Stravinsky, *Ragtime for eleven instruments* [1918], bars 58-62

[♩ = 100]

Strings

mp pizz. arco

62

Db. arco

**EXAMPLE 2.15**Stravinsky, *Piano-rag music* [1919], page 4, line 4

♩ = 144

p

P

As reflected by the observations on the instrumentation of *L'Histoire du soldat* cited earlier,<sup>112</sup> Stravinsky does not hesitate in this account to see his interest in ragtime as the appurtenance of an influence by an entertainment style also called 'jazz', adding:

Jazz – blanket term – has exerted a time-to-time influence on my music since 1918, and traces of blues and boogie-woogie can be found even in my most 'serious' pieces as, for example, in the *Bransle de Poitou* and the *Bransle simple* from *Agon*, the *pas d'action* (middle section) and *pas de deux* from *Orpheus*.<sup>113</sup>

As suggested by the *Piano-Rag Music* in 1919, however, Stravinsky may reflect a primitive tendency, during this initial period of European acquaintance with Afro-American musical expansion, to distinguish jazz from ragtime solely by the use of a

chamber ensemble for the former, as in Example 2.14, and piano for the latter, as in Example 2.15. Even though elaborated at a later date and thus more subtle, Adorno's taxonomy, cited earlier,<sup>114</sup> shows the unmistakable imprint of this conceptual device.

Stravinsky nevertheless lacked Adorno's contempt for jazz or ragtime, and felt happy to capitalize on these genres for purposes of a superior form of musical construction.

According to the more detailed commentary on this aspect provided by Roman Vlad:

This was of course not the first attempt to stylise the new American dances and incorporate the style into 'high-brow' music – the *Cake-Walk* from Debussy's *Children's Corner* was an earlier example. But Stravinsky's approach to jazz is altogether different. The aspects of jazz that interest him are its rhythmic principles and the instrumental technique of the jazz band... In *Ragtime* syncopated rhythm is used with the utmost freedom and fantasy; yet it remains characteristically a dance rhythm. In the *Piano-Rag Music* on the other hand, the function of the rhythm is more than purely dynamic; it assumes something of an expressive function. The jazz elements are broken down and crushed to a pulp, then reassembled as if processed by some diabolical machine.<sup>115</sup>

These undeniably compelling works of cross-accentual assimilation have exhibited a power to impress even commentators who deal with jazz as a subject rendered in the course of history more diverse and musically subtle, as André Hodeir plainly shows:

This constant affirmation of the meter that is expressed by the unremitting pulsation of jazz is echoed very faintly in *Ragtime for Eleven Instruments*. Nonetheless, at times, the way the bass and drum parts are written, though traditional, suggests a real jazz beat. At such moments, we are very close to certain jazz scores that came later. At no time does the music of Darius Milhaud give us this impression.<sup>116</sup>

Stravinsky arguably had the greatest artistic success from his exposure to jazz and rag with *L'Histoire du Soldat* and *Symphonies of Wind Instruments*, written in 1918 and 1920.<sup>117</sup> Although not earmarked as so-influenced, these works combine the fresh inspiration of an early period of contact with jazz with deeper poetic conceptions. In Vlad's opinion, however, the very dilution of jazz influence on Stravinsky, evident in

**EXAMPLE 2.16**Stravinsky, *Ebony Concerto*, First Movement, from Fig. 1 to Fig. 2

[Allegro moderato (♩ = 88)]

The musical score for Example 2.16 is a short excerpt from the first movement of Stravinsky's *Ebony Concerto*. It is written for Alto Saxes, Trumpets (Tpts.), and Tenor Saxes. The tempo is marked 'Allegro moderato' with a quarter note equal to 88 beats per minute. The dynamics are marked 'mf'. The score shows a complex rhythmic pattern with many rests and accents, characteristic of Stravinsky's style. The Alto Saxes part is in the upper register, while the Tpts. and Ten. Saxes parts are in the lower register. The music is in 4/4 time and features a mix of eighth and sixteenth notes, often with rests, creating a syncopated feel.

the later ambient accommodation represented by his *Ebony Concerto* of 1943, allowed a closer approach to the original model than music unmodified by experience:

In those early works, what he borrowed from jazz was essentially its rhythmic principles, which he broke down, tore apart and fused together again... These nuclei being severed from the ordinary melodic and harmonic connective tissue of jazz, the pieces in question could not strictly be called jazz music. But the *Ebony Concerto* is a genuine jazz work, while at the same time it is authentic Stravinsky. He does not adapt himself to jazz: rather he takes it over and gives it his own cachet, inventing it afresh without straining its resources. The rhythm, for all its tremendous variety and plasticity, has ceased to be autonomous... The taming of the rhythm robs it of its demoniacal character, so that it does not spoil the pleasing effect which is at once the virtue and the limitation of the *Ebony Concerto*.<sup>118</sup>

Historically, such an opinion fits with the opinion of Robert Craft, who declares that:

At the beginning of the American period, jazz was the new music to which Stravinsky was most susceptible...<sup>119</sup>

Jazz musicians nevertheless do not always find the outcome pleasant. The jazz pianist James 'Cannonball' Adderley avers discreetly, but with a clear sense of distaste, that:

I listen to a lot of classical music, and it seems to me that most of what they're doing with the third stream has already been developed further by the more venturesome classical composers. Besides, Duke Ellington has shown us how to develop jazz from *within* to do practically anything. On the other hand, we know how ridiculous Stravinsky's *Ebony Concerto* is.<sup>120</sup>

Commentators may well continue to differ over whether Stravinsky gained his finest encounter with jazz and closest approximation to the model in the early years or not.

Whether Stravinsky's *Ragtime* of 1918 or his *Ebony Concerto* of 1945, Example 2.16, show greater stylistic receptivity counts for little, however, given the consensus that

these views represent: that, for an intelligent and sympathetic assimilation of jazz in the classical sphere, Stravinsky makes the strongest claim on the listener's attention. Apparently, a failure to regard Stravinsky as the composer most sympathetic to jazz must represent a blatant disregard of the extreme artfulness with which he uses syncopation.<sup>121</sup> From *Le sacre du printemps* onwards, this composer seemingly filled every bar of his music with cross-accents ready-made for generic adaptation, a fact recognized by Hans Keller in writing of the *Ebony Concerto*: 'every upbeat serves its own opposition, serves to be beaten back or beat itself back'.<sup>122</sup> In a comparison based on the consensus over Stravinsky's vigorous style, jazz syncopation in the mechanical sense sounds incompatible with Berg's languor. Only the slower, more enunciated approach to rhythm that came to characterize jazz after 1930 suggests – at least in the last three of the latter composer's works – the possibility of serious levels of response.

### 2.1.3.2 Debt to jazz in Berg's music on the basis of syncopation

As suggested,<sup>123</sup> although a subtle and 'licentious' resemblance to jazz ex tempore in Berg's music may appear prescient of developments in that genre in the years after the composer's death, so that, as shown in Example 2.17, the flexibilities of rhythm and phrasing in the *Hauptstimme* of the 'Marsch' from his Three Orchestral Pieces, Op. 6

#### EXAMPLE 2.17

Berg, Three Orchestral Pieces, Op. 6, No. 3 ('Marsch'), bars 4-14

[Maßig Marschtempo]

The musical score for Example 2.17 consists of three staves. The first staff is for Oboe (Ob.) and Flute (Fl.), with a dynamic marking of *p* and a triplet of eighth notes. The second staff is for Horn (Hn.), Violins (Vns.), and Oboe (Ob.), with a dynamic marking of *f* and a triplet of eighth notes. The third staff is for Woodwinds (Ww.), with a dynamic marking of *dim.* and a triplet of eighth notes. The score includes various musical notations such as slurs, accents, and dynamic markings.

would not sound odd in a modern jazz setting,<sup>124</sup> the only form of cross-accentuation that may have acted as an influence lies precisely in the crude half-beat displacements encountered since the turn of the century via sheet music and mechanical piano rolls in ragtime.<sup>125</sup> In this context, parody appears, as the only point at which Berg's sound resembles Stravinsky's, to function as a means of holding the intrusive insistence of early jazz at bay. Berg's instrumentation of these parody sections conforms to the idea of distinguishing jazz from ragtime solely by means of timbre. Accordingly, and aside

### EXAMPLE 2.18

Berg, *Lyric Suite*, first movement ('Allegretto giocoso'), bars 13-16

The musical score for Example 2.18 consists of four staves. The tempo is marked as [♩ = 100]. The music is in 2/4 time. The first staff is marked with *pizz. arco* and *pizz. arco*. The second staff is marked with *p* *pizz. arco* and *pizz. arco*. The third staff is marked with *p* *pizz. arco* and *pizz. arco*. The fourth staff is marked with *mp molto espress.* and *f*. The score includes various dynamic markings such as *p*, *f*, *mf*, and *mf*. There are also performance instructions like *pizz.* and *arco*. The score is divided into four measures, with the first measure being the most prominent.

SYNCOBATONS STRAIGHTFORWARDLY ACCEPABLE  
WITHIN THE WESTERN CLASSICAL TRADITION

from considerations of timbre, drier effects in middle period works such as the *Lyric Suite* – as shown in Example 2.18 in the ‘Allegretto giocoso’ – especially appear to stem as from a world of classical syncopation, unconnected with life in the Americas.

When considered as linked to aspects of timbre such as produced by saxophone and vibraphone, however, Berg's later works plainly create a sound-world not only from deep within his sensibility, but also from an exposure to jazz sources. At first glance, although using syncopation for the ostentatious forms of parody that draw comment, Berg yet has little to show by way of a response to jazz viewed in terms of the rigid dislocations by which ragtime provided a stylistic template. By means of parody, Berg

**EXAMPLE 2.19**

Berg, *Lulu*, Act One, Scene 3, bars 992-6

**992** Rag-time (♩ = 120) \*) **995**

J A Z Z B A N D

\*) ev. hinter der Szene

Vorchang - - auf

**3. Szene: Garderobe im Theater.** Links hinten die Tür, rechts hinten eine spanische Wand. In der Mitte, mit der Schmalseite gegen den Zuschauer, ein langer Tisch, auf dem Tanzkostüme liegen. Rechts und links vom Tisch je ein Sessel. Links vorn ein Tischchen mit Sessel. Rechts vorn ein hoher Spiegel, daneben ein hoher, sehr breiter, altmodischer Armsessel. Vor dem Spiegel ein Hocker, Schminkschattulle etc. – An der Hinterwand ein großes Plakat, das trotz Aufschrift etc. als Kopie des Porträts Lulus aus der vorigen Szene zu erkennen ist.

Alwa links vorne, füllt zwei Gläser mit Champagner

Verwandlung des alten Tempo (♩ 40) [wonach Triolen - ♩ = 120 = Neues ♩]

Seit ich für die Bühne arbeite, habe ich kein Publikum so außer Rand und Band gesehen.

**992**

**\*\*)** Jazz-Schlagwerk, bestehend aus:  
gr. u. kl. Trom. und Beck. (freihängend),  
gr. u. kl. Tempelblock und Stahlbesen,  
Vibr., das jedenfalls im Orch. verbleibt

\*) siehe Anmerkung auf voriger Seite

U. E. 12864



**EXAMPLE 2.20**Berg, *Der Wein*, bars 39-42

Quasi a tempo pesante = Tempo di Tango (♩ = 46-52)

*p* *sehr rhythmisch!*

Pfte.

Ww./Str.

*p*

Tpt. *con sord.*

*p*

Bns.

Db. *pizz.*

Tam-tam

mimics ragtime as part of a mannerist gesture requiring the use of timbre, but, since his off-stage placement of the jazz band in *Lulu* – shown in [Example 2.19](#) – interferes with clarity of rhythmic perception,<sup>126</sup> only engages in full and open engagement with jazz rhythm in the ragtime passage for piano in *Der Wein* marked ‘Tempo di tango’, shown in [Example 2.20](#). In this connection, a less formal, but no less mordent species of parody also occurs with a ragtime hint on trumpet and horn at bars 572-3 in the Rondo of the Chamber Concerto, shown in [Example 2.21](#); this slight but pronounced allusion underlines a rhythmic brittleness that marks the whole piece, and that, despite

**EXAMPLE 2.21**

Berg, Chamber Concerto, third movement (‘Rondo ritmico’), bars 572-3

[ ♩ = 180 ]

Tpt. *senza sord.*

Hn. *senza sord.*

*f*

declarations that Berg made in the open letter to Schoenberg of 1925 about the probity of his artistic approach,<sup>127</sup> acerbically conjures up an impression of popular hedonism.

The idea that this trumpet figure represents only a fleeting level of modishness on Berg's part nevertheless vanishes on closer examination, for the specificity of motive in this shape emerges as instantiating the technique of *Hauptrhythmus*, often pursued

**EXAMPLE 2.22**

Berg, Four Songs, Op. 2, No. 2, bars (14)-18

[ Langsam ]

in mein Hei - mat - land.

*rit. pp*

*p*

*ppp*

3

by a use of monotones through his career. Douglas Jarman detects this trait emerging at the end of the second of Berg's Four Songs, Op. 2,<sup>128</sup> shown in [Example 2.22](#), but the *Hauptrhythmus* proper arose, whether so designated or not, as a motto in his Three Orchestral Pieces, Op. 6, providing a unifying aspect in most of the following works:

The rhythmic procedure to which Berg himself drew attention was the use of '*Hauptrhythmus*', which he describes, in his 'Open Letters' on the Chamber Concerto, as a 'rhythm that can be considered as a sort of motive'. In the scores of the Chamber Concerto, the Violin Concerto and *Lulu* such constructive rhythms are indicated by the symbol 'RH'... The angular and strongly syncopated nature of these patterns and Berg's practice of establishing them as self-sufficient rhythmic patterns before using them in association with thematic material...are usually amongst the distinguishing features of such *Hauptrhythmen*.<sup>129</sup>

The fact that the prominently jazz-related figure in the Chamber Concerto, as noted above, also stems from a *Hauptrhythmus* thus opens up new possibilities of linking Berg's music to Afro-American influences prevalent in Europe prior to the advent of jazz, yet shows too the difficulties that may arise when trying to establish the truth, for subtle features will all too easily create alternative explanations that predominate by default, whereas the more obvious kinds of feature fall into the category of parody.

Even allowing for subconscious assimilation, a ragtime link with earlier instances of *Hauptrhythmus* can seem speculative. The abrupt, strident trombone motif at bar 14 in

**EXAMPLE 2.23**

Berg, *Three Orchestral Pieces*, Op. 6, No. 1 (Präludium), bar 14

[Langsam]

Tbns./Tba. fluttertongue

**EXAMPLE 2.24**

Mahler, *Symphony No. 9*, first movement, bars 1-3

Tempo comodo

**EXAMPLE 2.25**

(a) Berg, *Wozzeck*, Act Three, Scene 3, bars 122-129

Schnellpolka ♩ = 160

(b) Joplin, *Maple Leaf Rag* [1899], Trio, bars (0)-4

[ Tempo di marcia ]

the 'Präludium' from Berg's Three Orchestral Pieces, Op. 6, shown in [Example 2.23](#), no doubt an allusion to the funeral march from Wagner's *Siegfried*, thus points also to Romantic 'fate motifs' in the symphonies of Beethoven and Tchaikovsky. As shown in [Example 2.24](#), this technique surely stems in part too from the opening of Mahler's Ninth Symphony.<sup>130</sup> The complexity and often vigour of Berg's rhythms nevertheless show a degree of congruity with ragtime that reinforces the idea of his sensitivity to that genre outside the usual field of reference, pointing to a sympathetic level of debt prior to the obvious period of transatlantic influence. As shown in [Examples 2.25](#), the forceful syncopations in the tavern polka at bars 122-5 in Act Three, Scene 3 of *Wozzeck* suggest a kinship to ragtime not hindered by the use of an out-of-tune piano; this pattern resembles syncopations in the trio from Scott Joplin's *Maple Leaf Rag* as grew into an American popular cliché. Berg generates a redolence of such music, as occurs more openly in the Chamber Concerto, obliquely during this earlier period, in parody of a formal, deliberate kind; yet the barbaric incisiveness woven into the *Hauptrythmus* from which Act Three, Scene 3 in *Wozzeck* derives *in toto* suggests that the composer had already started to link Afro-American syncopations creatively.

Although Berg may use a burst of Romantic parody in the Chamber Concerto, from bars 481-2 in the third movement as shown in [Example 2.26](#), to distract attention from his creative debt to ragtime via the syncopation of the *Hauptrythmus*, therefore, such debt may well contribute to most if not all of this composer's works that use such a device, as summarized in [Example 2.27](#). Accordingly, an identical syncopated ending to the *Hauptrythmus* of *Lulu*, as strongly characterizing throughout, lends too great a sense of relevance in the dramatic context not to impact homogeneously on this work: again resembling the Scott Joplin figure, this pattern adds an effect that Berg cannot stop from breaking continuously and 'fashionably' out, as shown in [Example 2.28](#), in

**EXAMPLE 2.26**

Berg, Chamber Concerto, 'Rondo con Introduzione', bars 481-3

Introduzione

Durchwegs frei, im Charakter einer 'Kadenz' vorzutragen ♩ = ca 132

The musical score for Example 2.26 consists of three systems. The first system shows the Piano part with a *fff* dynamic and a *Violin* part with a *ff* dynamic. The second system features a *ff* dynamic in the piano part, a *fp* dynamic, and a *Red.* marking. The third system includes dynamics of *f*, *p*, and *pp* in the piano part, and *p* and *mf* in the violin part. A *loco* marking is present in the piano part of the third system. A *♯* marking is also visible in the violin part of the second system.

**EXAMPLE 2.27**

*Hauptrhythmen* in Berg's works showing areas of quasi-American syncopation

(a) *Wozzeck*

Two rhythmic patterns are shown, each enclosed in a box. The first pattern consists of a quarter note, a quarter note, and a quarter rest. The second pattern consists of a quarter rest followed by a quarter note.

(b) Chamber Concerto

A rhythmic pattern is shown, enclosed in a box. It consists of a quarter note followed by a quarter note, a quarter note, and a quarter note.

(c) *Lulu*

Two rhythmic patterns are shown, each enclosed in a box. The first pattern consists of a quarter note followed by a quarter note. The second pattern consists of a quarter note followed by a quarter note.

(d) Violin Concerto

A rhythmic pattern is shown, enclosed in a box. It consists of a quarter note, a quarter note, and a quarter note.

**EXAMPLE 2.28**Berg, *Lulu*, Act One, Scene 2, bars 739-40

The musical score for Example 2.28 is for the vocal part of 'Der Maler' in Act One, Scene 2 of Berg's *Lulu*, bars 739-40. The tempo is marked as quarter note = 132. The score is in 5/4 time and consists of three systems. The vocal line is in the top staff, with lyrics: 'Du hast recht, ganz recht.' The accompaniment includes tubas (Tbns. con sord.), a tuba (Tba.), and a piano (B.D. Lower str.). The piano part features dynamic markings of *mf*, *f*, and *mp*, along with accents and slurs. The tuba part has dynamic markings of *f* and *mp*.

the huge orchestral crescendo, or 'Monoritmica', leading towards the painter's suicide in Act One, Scene 2. In this spectacular way, Berg uses the *Hauptrhythmus* also as a means of 'Afro-stylistic authentication', for transforming ragtime syncopations in his music while using parodies as a decoy. This fact grows plainer during the passage in Act Three, Scene 2, in which Alwa meets his end at the hands of the Negro, to the same accumulating sound, as brutally codensed into a further percussion outburst.<sup>131</sup>

Unsurprisingly, passages thus occur in Berg's later works that suggest a debt to jazz as rag without any *Hauptrhythmus* as a source of energy. As shown in [Example 2.29](#), the syncopated murmurings on low clarinets at bars 8-16 in *Der Wein* clearly point to a ragtime source, but so generate a feeling of inconsistency, given the extent to which the figurations seem to derive from popular origins but do not associate with the piano rag *Tango* that follows prominently at bar 39. A more striking sign of jazz-ragtime debt occurs with the cry of distress on trumpets at the start of the film interlude in *Lulu* to Act Two, Scene 2, bar 656, as shown in [Example 2.30](#). The flow of woodwind syncopations initiated by this gesture surely owes much to American popular music; in this passage, however, Berg's trumpets, although not muted, may reflect in the flow

**EXAMPLE 2.29**  
 Berg, *Der Wein*, bars 8-9

[ sehr langsam, ♩ = 35-44 ] (poco appassionato)

Cls. *p* molto tranquillo

B.Cl. *p* poco a poco cresc.

Lower Strs. *pp* ma espress.

**EXAMPLE 2.30**  
 Berg, *Lulu*, Act Two, Interlude to Scene 2, bars 1170-4

Tumultuoso

Tpts. *senza sord.*

*f*

Lower str. *f*

**EXAMPLE 2.31**  
 Berg, *Lulu*, Act Three, Scene 2, bars 1170-4

[ sostenuto ♩ = 76 ]

Tbns. *con sord.*

*mf*

Piano

RH

LH

1173

*f* *f* *mf*

*poco f* *f*

of parallel triads and the looser, legato effect an attitude towards jazz no longer limited stiltedly to rag, but opened to embrace the newer forms of dance band music.

Arguably the most striking instance of a jazz-as-rag debt in *Lulu* occurs in, Act Three, Scene 2, with the sinister accents that, in accompaniment to the plaintive soliloquy by the Countess Geschwitz, build up to an outburst of jagged syncopations on muted trombones and piano at bar 1170, shown in [Example 2.31](#), on inspection an adaptation of the *Hauptrhythmus* in a free rag manner. At this point, Berg supplies an impromptu syncopated element that mediates the *Hauptrhythmus* against the offstage jazz in Act One, Scene, 3, music that, oddly, make no use of that device. The elements of timbre in the Geschwitz passage enhance a kinship to ragtime inherent with such rhythms, yet in a passage filled with pathos by Berg's refusal to fall into satire. Interestingly, this passage, in alternating with the passage from bar 1154, resembles a passage from bar 32 in the opening of Milhaud's *Ballade* for piano and orchestra, Op. 61 of 1920,<sup>132</sup> a piece that, on a very different kind of pretext, also uses American syncopated styles.

Even in earlier works, exposure to ragtime may have impelled Berg to respond more variously to stimulus from an American popular music that had spread rapidly; such assimilation would then occur less consciously, via species of imitation ostensibly directed at non-American models. In many passages in *Wozzeck* marked by more rapid forms of syncopation, for instance, as at bars 4-5 in Act Two, Scene 1, shown in [Example 2.34](#), the activity vanishes in a polyphonic tangle; but, as shown in [Example 2.33](#), a more tangible, satirical form of syncopation occurs in the military march at bars 334-5 in Act One, Scene 3. Even further back in time, as shown in [Example 2.32](#), the appearance of a curious syncopated figure, also in a march-related context – but



**EXAMPLE 2.32**

Berg, *Wozzeck*, Act Two, Scene 1, bars 4-5

[ Poco allegro ♩ = 80 ]

Fl./Vns.  
Tpts./Vlas.

**EXAMPLE 2.33**

Berg, *Wozzeck*, Act One, Scene 3, bars 334-5

Marschtempo ♩ = ca 108

Tpts.  
B. Tbn./Tba.

plus other elements of military band music

**EXAMPLE 2.34**

Berg, *Three Orchestral Pieces*, Op. 6, No. 3 ('Marsch') [1913-15], bars 1-4

Maßiges Marschtempo

Cl. trill  
Tam-tam pp  
Hp. p  
Ob. p  
Cor Ang. p

Vcl. con sord.

**EXAMPLE 2.35**

Berg, *Four Clarinet Pieces*, Op. 5, No. 4 [1913], bars 9-(11)

[ Langsam (♩ = ca 66) ]

Clarinet  
Rit.

CLOSE SIMILARITY TO RAGTIME  
CONCEALED BY A SLOW TEMPO

pp ppp pppp

more moderato and more tango-relatable<sup>133</sup> – emerges in the clarinet figure at bar 2 of the 'Marsch' from the Three Orchestral Pieces, Op. 6; and, if interpreted as a slowed-down response to the new American vernacular, the clarinet shape, shown in [Example 2.35](#), that clammers out of a cloud of piano tremolandi in the last of Berg's Four Clarinet Pieces, Op. 5, deserves at least some degree of consideration as a wholesale conversion of piano rag lyricism. These examples indeed suggest a link with ragtime

If a question lingers more generally as to whether rigorous forms of passagework inherited by Berg from Schoenberg mark an expressionistic derivation from the finale of Mahler's First Symphony, for example, yet reliant on a backdrop of ragtime,<sup>134</sup> however, then the legato approach underlying even the most strident of his rhythms hinders him from emphasizing the half-beat with enough savagery, thereby to sound more linked to the world of American entertainment. Where Berg does so, his music often lacks the clarity to suggest a popular idiom. To judge from the above, therefore, the question gives rise to an answer in the affirmative as to whether the music that Berg wrote after 1917 exhibits an indebtedness to jazz according to an established criterion, but – from a prevailing legato-rubato aspect in his style – in a way that the more overt approach by Stravinsky tends to obscure. Berg does not cultivate accented forms of syncopation assiduously, and even the 'suicide' passage in Act One, Scene 2 from *Lulu* sounds laden with a post-Romantic sostenuto compared to Stravinsky's clipped effects. While Berg alludes to rag to a remarkable extent for a composer of such seriousness, he cannot stand viewed as particularly indebted to jazz on that basis.

### **2.1.3.3 The inadequacy of a perspective on jazz rhythm limited to syncopation**

A suspicion that, on a basis not as yet appraised, Berg's music may owe much more to jazz than Stravinsky's grows irresistibly from the modesty of this profile. After all, to

deal with the most blatant features of a generic relationship may not represent the deepest level of stylistic exchange. Indeed, the syncopation-plus-timbre nexus that has dominated the argument up to this point emerges as concealing a subtler, as a result a more powerful set of criteria. In which case, the function of mediating the stylistic differences of jazz from classical music – crucial in a situation so prejudiced – might not only emerge conventionally as inadequate, but also as one that Berg may emerge as filling in the event of his style exhibiting some other kind of appreciable similarity. Allowing in passing for a nexus of tonality and timbre that might allow a kind of ‘jazz’ characterization solely thereby, as with some of Kurt Weill’s songs,<sup>135</sup> the idea of jazz as primarily rhythmic remains intact and viable; yet even the earliest and least developed forms of pre-1935 jazz accessible on record show that reducing the rhythmic elements in the genre to syncopation as simply as Adorno does unacceptably strengthens a tendency to confuse ‘jazz’ with ‘ragtime’, if often reflecting an early moment of delight such as described above by Stravinsky.<sup>136</sup> This anomaly would present the syncopation in Berg’s music as a sign of one or the other interchangeably.

In particular, for all the mention of a ‘licentious’ species of jazz syncopation,<sup>137</sup> of ‘six-eight’ time apparently introduced in 1925 via the hit tune ‘Valencia’,<sup>138</sup> and of ‘hot’ forms of improvisation that distinguish progressive jazz from related forms of dance music,<sup>139</sup> Adorno fails either to hear, notice or bring to notice the fundamental sense of heterogeneity of jazz rhythm as opposed to ragtime; and, especially by not examining more thoroughly the concept of rhythmic ‘decadence’,<sup>140</sup> he encourages readers to assume that the ‘extraordinary complexity’ generated by ‘virtuoso’ levels of jazz performance involves no more than an intensified permutation of eight half-pulses in each bar.<sup>141</sup> In fact, however, jazz aficionados know that good performance,

**EXAMPLE 2.36**Joplin, *Maple Leaf Rag*, main section, bars 1-2[different forms of representation as compared in Tirro, *Jazz*, p.110]

a. Notated



b. As played by Scott Joplin (SCCJ [Smithsonian Collection], 1/1)



c. As played by Jelly Roll Morton (SCCJ [Smithsonian Collection], 1/2)



d. Same as 'c' [realized as tripletized crotchet-quaver patterns]

'Straight' versions  
as ragtime'Swing' versions  
as jazz

as recorded in the early post-1917 period by Jelly Roll Morton, Sydney Bechet or Louis Armstrong, may differ from bad on account of a quotient of heterogeneity, and that although refusal of a predefined limit as to where to place attacks does not ensure quality, adhering to half-pulses strictly imprisons this genre within the ragtime sphere.

The importance of this distinction to jazz musicians both in the present day and at the time of the earliest European exposure emerges clearly in an account given by Tirro:

Jelly Roll Morton's performance of Scott Joplin's [*Maple Leaf Rag*] is instructive about jazz performance in general. The time relationship of the harmonies remains fixed regardless of all other rhythmic and melodic variation. However, the time relationships of individual notes are no longer limited to the two-to-one ratio, but include three-to-one as the most commonly recurring two-to-one ratio, but include three-to-one as the most commonly recurring element in the rhythmic patterns. In ragtime, a brace of two equal eighth notes is performed with each note receiving equal time; in jazz, at mid-range tempos, two notated eighth notes are performed as a triplet figure: a quarter note followed by an eighth, all squeezed into the time allotted for one beat. This smoothes off the ragged edges of the ragtime syncopation, and this must have

been what James Scott had in mind when he named his ragtime composition of 1921 *Don't Jazz Me Rag – I'm Music*.<sup>142</sup>

Adorno's reference to the introduction of 'compound time' to jazz in 1925 via the hit tune 'Valencia' thus marks an inaccuracy of representation, for as shown in [Example 2.35](#), as an illustration of the passage cited above, jazz emerged as a distinct form of expression from ragtime not only through a more diverse approach to instrumentation and timbre but also through a wholesale conversion to the tripletized crotchet-quaver form of pulse division shortly thereafter to gain association with the idea of 'swing'. The universality of this feature for jazz musicians emerges in an account by Frank Bergerot and Arnaud Merlin of the partial return to strict half-and half in the 1950s:

...swing guaranteed flexibility, dynamics and richness in jazz. It introduced subjectivity and emotion to an art based on regularity. It was the key to freedom with which jazz players placed each one of their notes. Up to [the emergence of 'hard bop' in the 1950s] swing had been related to the asymmetry of ternary phrasing...Where the classical musician played two equal notes, the jazz player would stretch the first and rush the second, thus creating an impression of elasticity, of rebound. Binary phrasing made a timid entrance into [Dizzy] Gillespie's jazz, with the symmetric drumming on the skins of Afro-Cuban drums. But after concluding that 'it swung' as much in two as in three, jazz musicians assimilated more and more new rhythmic habits.<sup>143</sup>

These two passages provide a comprehensive view of jazz rhythm as elaborated from the initial syncopated premise: although syncopation proved necessary as a principle for jazz as a whole, swing also proved necessary prior to Dizzy Gillespie in the 1950s.

With regard to an examination of the extent to which Berg's music exhibits rhythmic traits that resemble jazz enough to point under the right historical circumstances to a degree of debt to that genre on his part, therefore, these considerations provide a way in which to penetrate the general issue of 'complexity'.<sup>144</sup> As the notion of rag-based syncopation remains too strong in the classical sphere to permit the heterogeneity of

some of Berg's textures to stand as a perceived debt to subtle jazz cross-accentuation over and against his post-Wagnerian inheritance – especially in the absence of a clear rhythmic 'stomp'<sup>145</sup> – the idea of swing comes to the fore as an element of definition. In addition, the citation from Tirro of tripletized crotchet-quaver patterns 'smoothing off the ragged edges' highlights the way in which swing needs legato or anti-staccato modes of enunciation for a sense of fluency, a factor that further marks jazz out from ragtime, and undermines the jazz-similitude of Stravinsky in possible favour of Berg.

## 2.2 Endnotes for Chapter Two

- (1) Alban Berg, *Prospekt des Vereins für Privataufführungen* (February 1919), cited as trans. in Nicholas Cook, *Music, imagination and culture* (Oxford, 1990), p.184.
- (2) See the depositions in, *Zum einschlagen gibt's genügend Musik: die Referente des Erwin Schulhoff – Kollogium in Düsseldorf am Mainz, 1994*, ed. Tobias Widmaier.
- (3) Alban Berg, letter to Erwin Schulhoff (1921), cited by Josef Bek in 'Alban Berg nennt sich mein neuer Freund', *Österreichische Musik Zeitschrift*, 49 (1993), p.473; trans. I.B.M.
- (4) See Bernard Geuss, 'Berg and Adorno', *The Cambridge companion to Berg*, ed. Anthony Pople, p.38.
- (5) T.W. Adorno (1968), trans. *Alban Berg: master of the smallest link* (Cambridge, 1991), p.115; 1925 perhaps stands significantly in this context as the year in which for the premiere of *Wozzeck* Berg visited Berlin, a city accustomed to jazz since 1924 – see endnote I(65).
- (6) Hans Redlich, *Alban Berg: the man and his music* (London, 1957), p.160.
- (7) See pages 7-8 above.
- (8) Soma Morgenstern, *Alban Berg und seine Idole: Erinnerungen und Briefe* (Leck, Austria, 1995), p.218; trans. I.B.M.
- (9) *Ibid.*, pp.293-4; trans. I.B.M.
- (10) See: Section 1.2.1.1; endnotes I (74), (75).

- 
- (11) See Robert Witkin, *Adorno on music* (London, 1998), p.167.
  - (12) S. Morgenstern, *Alban Berg und seine Idole*, pp.313-4; trans. I.B.M.
  - (13) See Dan Morgenstern, 'Reminiscences in tempo', *Jazz: a history of America's music*, ed. Geoffrey C. Ward, p.224.
  - (14) See S. Morgenstern, *Alban Berg und seine Idole*, p.9.
  - (15) See pages 7-8 above.
  - (16) E-mail response to I.B.M by Dan Morgenstern (19<sup>th</sup> Nov. 2003).
  - (17) See pages 29-30 above.
  - (18) See page 30 above.
  - (19) See page 30 above.
  - (20) From Fig. 92.
  - (21) Alban Berg, letter to Helene Berg (Brussels, 1931), trans. in *Alban Berg: letters to his wife*, ed. Bernard Grun, pp.391-2.
  - (22) See Brendan Gill, *Cole: a biographical essay* (London, 1971), p.65; p.67.
  - (23) See John Russell, *Erich Kleiber: a memoir* (London, 1957), p.117.
  - (24) Edward Jablonski, *Gershwin* (London, 1988), p.167.
  - (25) See S. Morgenstern, *Alban Berg und seine Idole*, p.218n.
  - (26) Janet Joan Naudé, 'Lulu, child of *Wozzeck* and Marie: towards an understanding of Alban Berg, 'Master of the Smallest Link', through his vocal and dramatic music', diss. (Cape Town, 1997), p.154.
  - (27) See Lynn Haney, *Naked at the feast: the biography of Josephine Baker* (London, 1981), pp.144-149.
  - (28) See Mosco Carner, *Alban Berg: the man and his work* (London, 1983), pp.71-73.
  - (29) See Barry Paris, *Louise Brooks* (New York, 1982), p.97.
  - (30) See Josephine M.N. Simpson, *Peter Altenberg: a neglected writer of the Viennese Jahrhundertwende* (Frankfurt am Main, 1987), p.2.
  - (31) See: *Der Wein*, bars 39-63, 181-195; *Lulu*, Act Two, Scene 1, bars 992-1020. 1040-1093, 1155-1168.
  - (32) Redlich, *Alban Berg*, p.160.
  - (33) *Ibid.*, p.160.
  - (34) Carner, *Alban Berg*, p.112.

- 
- (35) Patricia Hall, *A view of Berg's Lulu through the autograph sources* (Berkeley, Ca., 1996), p.39.
- (36) Adorno, *Alban Berg*, p.115.
- (37) Mark DeVoto, 'Berg the composer of songs', *The Berg Companion*, ed. Douglas Jarman, p.64.
- (38) See Redlich as cited on p.35 above.
- (39) Allen Forte, 'Reflections on the Gershwin-Berg connection', *Musical Quarterly*, 83(2) (1999): p.156.
- (40) See *ibid*, pp.150, 155-6; see also p.33 above.
- (41) See *ibid*, p.161.
- (42) See page 34 above.
- (43) Consider both citations of Berg on p.29 above as relevant in this context.
- (44) See Ronald Pearsall, *Popular music in the twenties* (London, 1976), pp.45-47.
- (45) See pages 20-21 above.
- (46) See T.W. Adorno (1936), trans. 'On jazz', *Discourse*, 12/(1) (1989), p.45.
- (47) As with the riff to 'Sunshine of your love' by Cream (1967).
- (48) See Carner, *Alban Berg*, p.xviii.
- (49) See page 6 above.
- (50) See Adorno, 'On jazz', p.59.
- (51) Hear ending to recording of 'The night was made for love', in medley from *The Cat and the Fiddle* (London, 1933), on CD Vocalion EA 6073 (2002), *Hitting a new high: Carroll Gibbons and his Boyfriends, Vol. 2* (Watford, Herts., UK, 2002), track 4.
- (52) See Carner, *Alban Berg*, p.162.
- (53) Anthony Pople, *Berg: Violin Concerto* (Cambridge, 1991), p.60.
- (54) Note the endings to Debussy, *La mer*, part one, Scriabin, *Poème de l'extase*, Schoenberg, *Gurrelieder*.
- (55) Gunther Schuller, *The Swing Era: the development of jazz, 1930-1945* (New York, 1989), p.123n.
- (56) Arnold Whittall, 'Berg and the twentieth century', *The Cambridge companion to Berg*, ed. Anthony Pople, p.251.
- (57) *Ibid.*, p. 258.
- (58) See pages 38-9 above.



- (59) See Reich (1963), trans. *The life and work of Alban Berg* (London, 1965) , p.163.
- (60) See Pearsall, *Popular music in the twenties*, pp.61-2.
- (61) Hear for example popular numbers recorded during the period 1924-34 on compilation CD Swing Time Productions 2011, *Isham Jones plays his own compositions, 1823-1934*, (Hollis, NH, no date); the slow number 'I'll see you in my dreams', track 3, especially relates to the above example by Berg in this slower temporal context.
- (62) Louis Armstrong especially stands out in this context for establishing the predominantly legato approach with this instrument in jazz; see Scott Yanow, *Classic Jazz* (San Francisco, 2001), p.17.
- (63) John Storm Roberts, *Black music of two worlds* (London, 1973), p.213.
- (64) Manchester Guardian (19<sup>th</sup> Nov. 1931), cited in Jennifer Doctor, *The B.B.C. and ultra-modern music, 1922-1936: shaping a nation's tastes* (Cambridge, 1999), p.225.
- (65) See Redlich, *Alban Berg*, p.17.
- (66) See James Lincoln Collier, *Jazz: the American theme song* (New York, 1993), p.169.
- (67) See Philip Bate, 'Saxophone', NG1 (1980), Vol. 16, p.538.
- (68) Adorno, *Alban Berg*, p.115.
- (69) Redlich, *Alban Berg*, p.160.
- (70) See page 36 above.
- (71) See Wally Horwood, *Adolphe Sax, 1814-1897: his life and legacy* (Bramley, Hants, UK, 1980), pp.161-167.
- (72) See page 13 above.
- (73) Igor Stravinsky & Robert Craft, *Expositions and developments* (London, 1959), p. 91.
- (74) See Horwood, *Adolphe Sax*, pp.149-156.
- (75) See Section 1.2.1.1 above.
- (76) S. Morgenstern, *Alban Berg und seine Idole*, p.343; trans. I.B.M..
- (77) See Douglas Jarman, '‘Man hat auch nur Fleisch und Blut’: towards a Berg biography', *Alban Berg: historical and analytical perspectives*, eds. David Gable & Robert P. Morgan, p.16.

- 
- (78) Horwood, *Adolphe Sax*, p.147.
- (79) George Perle, *The operas of Alban Berg, volume two: Lulu* (Berkeley, Ca., 1985), p.234.
- (80) See Frank Tirro, *Jazz: a history* (London, 1977), p.262.
- (81) See Perle, *The operas of Alban Berg, volume two: Lulu*, p.34.
- (82) Alban Berg., letter to Erich Kleiber (1933), cited in Russell, *Erich Kleiber*, p.142.
- (83) See Erik Levi, *Music in the Third Reich* (Basingstoke, UK, 1997), p.104.
- (84) By the American bandleader, Woody Hermann; see Stravinsky's dedication in the score.
- (85) See pages 17-22 above.
- (86) Tirro, *Jazz*, pp.47-48.
- (87) Rudi Blesh, *Shining trumpets: a history of jazz* (London, 1949), p.188.
- (88) As a good illustration, hear through all tracks – recorded 1930s-1940s – on CD Cedar, Digital Dejavu 5-119-2, *Tommy Dorsey: swing sensation* (Berkhamstead, Herts., UK, no date).
- (89) See Whitcomb, *After the ball: pop music from rag to rock* (Harmondworth, Mdx UK, 1972, 1973), pp.90, 97.
- (90) See Pearsall, *Popular music of the twenties*, p.59.
- (91) See pages 1-2 above.
- (92) Adorno, 'On jazz', p.45.
- (93) See *ibid*, pp.45, 67-8.
- (94) With 1919-24 as representing worldwide a strong period of initial encounter and enthusiasm or 'jazz craze'; see Whitcomb, *After the ball*, p.97.
- (95) See André Hodeir, trans. *Jazz: its evolution and essence* (London, 1956), pp.30-31, 51-62, 237-8.
- (96) See *The Larousse encyclopaedia of music*, ed. Geoffrey Hindley, p.372.
- (97) See Adorno, *Alban Berg*, p.89.
- (98) See Pearsall, *Popular music of the twenties*, p.67.
- (99) See page 16 above.
- (100) See page 29 above.
- (101) See Adorno, 'On jazz', p.55.
- (102) *Ibid*, p.66.

- (103) Mátyás Seiber, 'Rhythmic freedom in jazz', *Music Review*, 6 (1945), p.168.
- (104) See pages 20-1 above.
- (105) See Section 2.1.2 above.
- (106) See Adorno, 'On jazz', p.4.
- (107) See pages 13, 18-20 above.
- (108) Igor Stravinsky Robert Craft, *Stravinsky in conversation with Robert Craft* (Harmondsworth, Mdx., UK, 1962), pp.132-133.
- (109) Pierre Boulez, 1953, trans. 'Stravinsky remains', *Stocktakings from an Apprenticeship*, ed. Paule Thévenin), p.56.
- (110) See page 57 above.
- (111) Igor Stravinsky, *Igor Stravinsky: an autobiography* (New York, 1936, reprinted 1962), pp.77-8.
- (112) See pages 46-7 above.
- (113) Stravinsky, *Chronicles*, p.117.
- (114) See page 53 above.
- (115) Roman Vlad (1974), trans. *Stravinsky* (Oxford, 1978), p.59.
- (116) Hodeir, trans. *Jazz*, p.260.
- (117) *Symphonies* in particular contains from Fig. 44 a long, climactic and decidedly rag-associable passage, in the continuous sound of interrupted sets of running notes and of concentrations of 'tie-over' notes, if from frequent changes of key signature in the score not apparent at first glance.
- (118) Vlad, *Stravinsky*, p.128.
- (119) Vera Stravinsky & Robert Craft, *Stravinsky in pictures and documents* (London, 1979), p.355.
- (120) James 'Cannonball' Adderley interviewed in *sub verbo* 'The Playboy Panel – Jazz: today and tomorrow' (1964), reprinted as 'A jazz summit conference', *Keeping time: readings in jazz history*, ed. Robert Walser, p.271.
- (121) See Pierre Boulez (1953), 'Stravinsky remains', pp.68-73.
- (122) Hans Keller (1957), cited by Stephen Walsh, *The music of Stravinsky* (Oxford, 1988), p.186.
- (123) See page 52 above.
- (124) Compare transcriptions of the introduction and solo for 'Parker's mood' as played by Charlie Parker (1940s?), in Tirro, *Jazz*, p.371.

- (125) As on LP Saydisc SDL-117, *Pianola jazz: early piano jazz and ragtime reproduced on piano-player rolls* (Bristol, UK, 1970s?).
- (126) See page 49-50 above.
- (127) See Alban Berg, open dedicatory letter about his Chamber Concerto to Arnold Schoenberg (1925), trans. in Reich (1965), *The life and work of Alban Berg*, pp.144-8.
- (128) See Douglas Jarman, *The music of Alban Berg* (London, 1979), p.148.
- (129) *Ibid.*, p.151.
- (130) See Jarman, *The music of Alban Berg*, pp.151-2.
- (131) See page 9 above.
- (132) Piano reduction available in British Library; the similarity comes across more strikingly in performance, as on CD Ultima 3984-2347-2, *Milhaud* [various works] (Rachir, France, 1998), Track 24.
- (133) See Victor Silvester, *Modern ballroom dancing: history and practice* (London, 1977), pp.23-6.
- (134) See pages 17-19 above.
- (135) See Adorno, 'On jazz', p.47.
- (136) See page 57 above.
- (137) Adorno, 1936, 'On jazz', p.45.
- (138) *Ibid*, p.47.
- (139) See *ibid*, 'On jazz', p.53.
- (140) *Ibid*, p.45.
- (141) See *ibid*, p.46.
- (142) Tirro, *Jazz*, p.109.
- (143) Frank Bergerot & Arnaud Merlin, trans *The story of jazz: bop and beyond* (London, 1991), pp.40-44.
- (144) See pages.53-55 above
- (145) See Blesh, *Shining trumpets*, p.188.

**– CHAPTER THREE –  
THE POSSIBILITY OF  
A RESPONSE BY BERG TO SWING**

The prospect of linking Berg's music more deeply with jazz at this juncture persists from the fact that the idea of 'swing' attaches in a number of relevant commentaries not only to 2:1 divisions of the pulse – presumably enunciated in a legato way – but also to a complexity that allowed Adorno to use 'licentiousness' as an umbrella term.<sup>1</sup> This dichotomy leads several writers on jazz to define the term 'swing' without any mention of 2:1. The entry for 'swing' in *New Grove Dictionary of Jazz* refers only to:

...a quality attributed to jazz performance. Although basic to the perception and performance of jazz, swing has resisted concise definition or description. Most attempts at such refer to it as primarily a rhythmic phenomenon, resulting from the conflict between a fixed pulse and the wide variety of actual durations and accents that a jazz performer plays against that pulse... However, such a conflict alone does not necessarily produce swing, and a rhythm section may even play a simple fixed pulse with varied amounts or types of swing.<sup>2</sup>

Likewise, Gunther Schuller completely omits to examine the most measurable and hence more obvious aspect of swing rhythm, even in a book entitled *The Swing Era*:

When swing occurs it is innate, not studied. It is free and unhindered insofar as it arises from natural felt impulses; but at the same time it is controlled by the auditory apparatus of the ear and mind.<sup>3</sup>

John Storm Roberts cites a report showing the extent to which musicians close to the source of jazz feel reluctant to specify the importance of this strongly salient feature:

One of the fundamental facts about jazz is that it "swings". Anybody with a feel for jazz knows what this means, but to define it is a very different matter. Barry Ulanov, in his *History of Jazz in America* [1971] quotes...Frankie Froeba, Louis Armstrong and Ella Fitzgerald, in the following order:

"A steady tempo, causing lightness and relaxation and a feeling of floating."

"My idea of how a tune should go."

"Why, er – swing, is – well, you sort of feel – uh – uh – I don't know – you just swing!"<sup>4</sup>

Written accounts by jazzmen, such as Louis Armstrong's *Swing that Music*<sup>5</sup> or Duke Ellington's 'Music is 'Tops' to You and Me...And Swing Is a Part of It',<sup>6</sup> also show a reluctance to link swing to 2:1, and a description of the rhythmic diversity of jazz by William Morrison Patterson in 1917 suggests that the vague idea may have risen first:

Jazz is based upon the savage musician's wonderful gift for progressive retardation and acceleration guided by his sense of 'swing'. He finds syncopation easy and pleasant. He plays to an inner sense of time – joyfully elastic because not necessarily grouped in successions of twos and threes.<sup>7</sup>

Although resorting to an appeal to the idea of 'primitivism',<sup>8</sup> this writer delineates an imprecise trait showing that 2:1 and fluidity go well together as differently salient aspects and, with use of the term 'swing' at any rate to designate a sublime feeling of motion, highlighting the extent to which Berg and jazz share a general kind of texture.

While the literature on Berg shows little regard for the extent to which the composer's propensity for legato helps to create a sense of textural and rhythmic freedom, clues occasionally emerge about the potential offered. Desmond Shawe-Taylor writes that:

The texture of *Lulu* is softer and still more fascinating in tone-colour than that of *Wozzeck*; frequent use of saxophone and vibraphone lends to parts of the score an insinuating charm and an eerie glitter like nothing else in music.<sup>9</sup>

Mosco Carner writes similarly, with a somewhat inappropriate nod towards Mahler:

It is, I suggest, the humanity emanating from his music that links him so closely to his much adored Mahler and, as with Mahler, it is Berg's strong lyrical vein, a vein sensitive, soft-grained and most pliable, to which I respond immediately.<sup>10</sup>

A notable indication of this quality finds form in a remark attributed to Stravinsky:

Stravinsky's most incisive comment on Berg's opera [*Lulu*] was made in a conversation with Nicholas Nabokov in Venice, September 20, 1959: "Berg's music is like a woman about whom one says, how beautiful she must have been when she was young".<sup>11</sup>

Stravinsky's sinewy approach to rhythm clearly enabled him to discern – if very much in a misogynistic way – a 'licentious' element in Berg's style suited to his espousal of sybaritic topics operatically. Unsurprisingly, T.W. Adorno also offers an observation:

Under an analytic gaze this music completely dissolves, as if it contained no solid components. It vanishes even while still in its apparently fixed, objectively aggregate state. Had one drawn Berg's attention to this he would, in his own bashful way, have been as pleased as someone caught in a secret kindness. The ramified, organically luxuriant richness of many of his creations, as well as the disciplining skill to bind together the diffuse and divergent – a skill reminiscent of childish, painstakingly executed drawing-board pictures – proves at heart to be simply a means of emphasizing the idea that all is nothing through the contrast inherent in erecting an elaborate musical structure that springs from nothingness and trickles away into nothingness.<sup>12</sup>

Despite the fact that these remarks raise the question as to whether such a trait reflects an exposure to jazz that Berg would, subliminally or by intent, transmit via his notes, or simply a manner of performing *Lulu* that in the years after his death may have grown prevalent, these authors all detect a quality in Berg's approach from the outset.

Ultimately, however, the idea of more positively linking the sound of Berg's music to that of swing cannot thrive without discerning in the composer's 'licentious' textures an element that might point to the paradigmatic 2:1 element of jazz. Barry Kernfeld obviously feels impatient with the accounts of the genre that do not fulfil such a brief:

Swing is a subject of eternal disagreement. Insofar as the disagreement stems from perception of subtle, complex rhythm, it seems genuine: the fine details of swing can be hard to hear, and invariably these details defy precise analysis and rational notation. But among jazz fans a snobbish tradition sometimes makes the subject exclusive: if you don't already know what swing is, we're certainly not going to tell you. Accessible, musically rational qualities are sometimes ignored or belittled.<sup>13</sup>

As an antidote to continuing vagueness, this writer cites Lester Young's definition:

The essential properties of simple swing rhythm can be summarized by Lester Young's concise definition, the rhythmic phrase 'tinkety boom'. Simple swing should meet three criteria: 1) Some beats are explicitly subdivided into three parts (tin-ke-ty); 2) The first and third parts receive emphasis (TIN-ke-TY); 3)

The third sounds as if it were connected more to the following beat than to its own (TIN-ke-TY-BOOM) and thus pushes the rhythm forward.<sup>14</sup>

This definition clarifies the underlying metrical principle for most jazz as a lengthening of the first ‘half’ beat to double the second ‘half’. This effect marked most of the earliest examples of jazz in recorded form,<sup>15</sup> and, in a form of enunciation generally inclining towards legato, predominated exclusively in the genre until the 1950s.<sup>16</sup> As a result, although the term ‘Swing Era’ arose in the 1930s, when the average tempo of jazz had slowed down sufficiently to allow this manner of subdivision a direct form of appreciation,<sup>17</sup> ‘swing’ seems extremely useful as a term to apply analogously wherever a flowing form of 2:1 occurs, quick or slow; thus a playground swing follows the long deceleration after the ‘beat’ of each drop with a short rush down after the rise to the apex. In jazz, 2:1 alternations register with the listener as short-long anacrusis, in a metrical series like the movement of a swing.<sup>18</sup>

In jazz practice, of course, the concept of ‘simple swing rhythm’ acquires an entire range of ancillary acoustic aspects that render the actual experience for the listener extremely variegated and at times complex.<sup>19</sup> That complexity will even reach from the jazz inspirational centre to the routine periphery of dance band music.<sup>20</sup> Insofar as ‘2:1’ may stand as at least as much a numerical emblem for a variety of durational shifts in jazz, as ‘1:1’ may vary when realized in certain kinds of performance by classical musicians, so the phenomenon of simple swing obtains extra forms of possibility when viewed as subject to differences of timbre, attack and articulation.<sup>21</sup> To the extent that the term ‘swing’ found use also in a broad, non-specific way during the early, hectic days of Dixieland,<sup>22</sup> and in the wake of innovations by Dizzy Gillespie in the 1950s, in a way that could allow inclusion of the 1:1 ratio,<sup>23</sup> however, the fact emerged by the 1930s of 2:1 as the locatable core of a fundamental jazz-like



parsing. In the end, ‘legato 2:1 lilting’ withstands scrutiny as the nub of jazz metrical salience, and, especially when considered in legato articulation, offers a remaining outlet for curiosity as to the way in which the complexity in Berg and complexity in jazz may identifiably and consequentially overlap. Additionally, the compatibility of swing 2:1 with standard notation enhances a continuing sense of promise in this area.

### 3.1 Berg’s use of triple time – an obstacle

The problem of pinning down 2:1 rhythms that might mark a similarity to jazz swing within a mass of ‘insinuating’ and ‘pliable’ imponderables in Berg’s music lies in the fact that all of the more obvious and ‘paradigmatic’ forms employed by him occur at too leisurely a pace and in too detached or emphatic a way to sound like this genre as against the European folk styles that often constitute the pretext. The return of Andres’s hunting song from Act One, Scene 2 of *Wozzeck*, in the form of mournful horn reminiscences in the following interlude, as shown in [Example 3.1](#), stands out as the only exception. Insofar as the hypnotically slow pulses that introduce the melody, and polytonal clusters on strings at point of entry transform the brutal quality of the original in effect into a blues, this sostenuto texture resembles bars 66-71 in the first of Ives’s *Three places in New England*, a passage with similar potential but, as shown

#### EXAMPLE 3.1

Berg, *Wozzeck*, Act One, Scene 2, bars 320-23

The musical score for Example 3.1 consists of two staves. The top staff is for Solo Vn. (Solo Violin) and the bottom staff is for Strs./Ww. (Strings/Woodwinds). The tempo is marked as [♩ = 60]. The Solo Vn. part begins with a dynamic marking of *mf* and features a melodic line with triplets. The Strs./Ww. part begins with a dynamic marking of *ppp* and features a polytonal cluster texture. The score includes a performance instruction of 2 Hns. con sord. (2 Horns with mutes). The Solo Vn. part has a dynamic marking of *mp* and *p* in later measures. The Strs./Ww. part has a dynamic marking of *ppp* and a dashed arrow indicating a shift in texture.

**EXAMPLE 3.2**

Ives, *Three Places in New England*, No. 1 ('Col. Shaw and his Coloured Regiment'), bars 66-69

Piu moto (♩ = ca 112-116)

The musical score consists of four staves. The top staff is for Flute (Fl.), the second for Strings (Strs.), the third for Piano (pp), and the fourth for Horn (Hn.). The tempo is marked 'Piu moto' with a quarter note equal to approximately 112-116 beats per minute. The dynamics are 'p' (piano) for the flute and 'pp' (pianissimo) for the strings. The score shows a falling pentatonic descant on the first violin at bar 321.

in Example 3.2, without 2:1 features. The passage by Berg serves as a reminder of the extent to which blues style too depended on 2:1, not only providing a model for the slower forms of jazz favoured by 1930 but also adding to the early liting consensus.<sup>24</sup>

The haunting but exotic treatment by Berg of his material in this passage – including the falling pentatonic descant on first violins at bar 321 – indeed makes an association of the musical content with American swing effects temporarily more straightforward than with traditional folk materials, and raises a question about the extent to which the blues style in competition with ragtime may have penetrated the consciousness of cultured Europeans prior to the advent of jazz.<sup>25</sup> Notwithstanding publication of 'Memphis blues' in 1912 as the earliest manifestation of this genre in the form of commercial sheet music, plus Berg's habit of purchasing such materials as noted,<sup>26</sup> this passage will need to stand, in lieu of a readily accessible answer, as an example of natural expressive tendencies under the impact of extremely despondent conditions: the passage reflects not only the mood of Georg Büchner's scene but also the crushing defeat of the Axis military powers in the autumn of 1918, the period of composition.<sup>27</sup>

Otherwise, Berg avoids paradigmatically appreciable passages of triple time unless undermining the possibility of 2:1 liting. Even the legato 2:1 anacruses suggestively scored for saxophone in the Canzonetta, bars 257-61 from Act One, Scene 1 of *Lulu*,

### EXAMPLE 3.3

Berg, *Lulu*, Act One, Scene 1, bars 257-261

The musical score for Example 3.3 is titled 'Canzonetta - Andantino grazioso'. It is written in 6/8 time. The score includes parts for Saxophone (Sax.), Horns (Hn.), and Strings (Strs.). The saxophone part features a melodic line with a 'p' dynamic marking. The horns and strings provide accompaniment with 'mp espress.' and 'p' markings respectively. A 'Solo Vn.' (Solo Violin) part is also indicated.

shown in [Example 3.3](#), occur too slowly to count as a direct allusion to swing for the listener.<sup>28</sup> The folk styles used as parodies in *Wozzeck*, for Andres's Song in Act One, Scene 2, shown in [Example 3.4](#), and for Marie's Lullaby in Act One, Scene Three, shown in [Example 3.5](#), and in *Lulu* for the three-voice Kanon in Act Two, Scene 1, shown in [Example 3.6](#), although utilizing 2:1 patterns for the accompaniments, exhibit an anti-legato characteristic that brings the instability of triple division to the fore; and, as shown in [Example 3.7](#), the 12/8 'Hymne' in *Lulu*, from bar 1097 in Act Two, Scene 2, provides an example of 2:1 totally undermined by metrical and temporal means. Whereas jazz musicians who permeate their passage-work with triplets at slower tempi rely on legato to guarantee a degree of stability, as in the case of 'Memories of you' recorded by the Benny Goodman Trio,<sup>29</sup> Berg never allows an overt and continuous 2:1 without impeding a sense of swing with hemiola formations via tempo and articulation.

Berg's use of compound time for folk-style parodies will also feel associated with his significant recourse as a Viennese composer to the waltz-tempo paradigm, the typical ompah-pah accompaniment of which counteracts any 2:1 alternation, so allowing the

### EXAMPLE 3.4

Berg, *Wozzeck*, Act One, Scene 2, bars 212-216

Neue flotteres tempo (♩ = 60-72)

Andres *p*

Das ist diescho-ne Ja - ge-rei, Schie - ssen steht Je - dem frei!

Tpt. *p* Hn. Cls.

Fl. *mp*

*p* Strs. *pizz.* *sfz*

### EXAMPLE 3.5

Berg, *Wozzeck*, Act One, Scene 3, bars 372-5

Langsam (♩ = 56-60), aber nicht schleppen

Marie *p*

Mä - del was fangst Du jetzt an? - - Hast du klein Kind und kein Mann?

Solo Strs./Hn./Bn.

*p* *mf*

### EXAMPLE 3.6

Berg, *Lulu*, Act Two, Scene 1, bars (172)-175

Canon - Wiegend (♩ = 56)

Athlete (doubled Trb.) *p*

Er hat sie näm - lich ur - sprung lich hei - ra - ten woll - en.

Cls. *p*

### EXAMPLE 3.7

Berg, *Lulu*, Act Two, Scene 2, bars 1097-8

Hymne - Sostenuto (♩ = 44-54)

Hp./Pfte./Strs. *pizz.*

*poco f* *ma dolce*

**EXAMPLE 3.8**J. Strauss II, *The Blue Danube* Op. 314:**(a)** Waltz 1, bars (33)-40

COUNTERACTION OF THREE-FOUR TIME BY ELEMENTS OF METRICAL AMBIGUITY

**(b)** Waltz 2, bars (0)-(8)

COUNTERACTION OF 'SWING' BY RESTS

COUNTERACTION OF 'SWING' IN ANY CASE BY  
FIRST CHORD OF 'OOMPAH-PAH' ACCOMPANIMENT

infiltration of 3/4 with hemiola-like tendencies. This process occurs in many of the waltzes by Johann Strauss II. The sophistication of the *Blue Danube Waltz*, for example, hinges on an emphatic 3/4 alternating section by section with an ambiguous 3/4, as takes place at bar 33 in Waltz 1, shown in [Example 3.8](#). Wherever a definite 2:1 rhythm emerges, as in Waltz 2, also shown, Strauss abolishes any feeling of legato by inserting a rest on the second beat. In consequence of this fact, Berg's use of waltz time for entire movements in his *Three Orchestral Pieces*, Op. 6, *Chamber Concerto* and *Violin Concerto* seems to anchor his approach to triple time within a predilection for stilted metrical disintegration. The clarinet melody that opens the *Allegretto*, Part 1/2 of the last of these works, as shown in [Example 3.9](#), thus exudes an old-fashioned,

**EXAMPLE 3.9**

Berg, Violin Concerto, Part I/2, bars 104-5

ALLEGRETTO  
♩ = 112 (*Scherzando*)

HEMIOLA GROUPINGS

Cls. Solo Vn.

*mp scherzando* *arco*

Vcls./Dbs. *pizz.*

**EXAMPLE 3.10**

Berg, Violin Concerto, Part I/2, bars 110-113

[ Allegretto ♩ = 112 ]

Solo Violin

Strs. Hn. Bn. Tba.

113

Cls.

pre-jazz kind of charm, entirely dependent on countering any possibility that, as seems adumbrated in the waltz-like passage from bar 110, shown in [Example 3.10](#), a simple form of 2:1 might emerge from an underlying enunciated tread of triple pulses.

Perhaps not surprisingly, therefore, at the rapid tempi that from an inherently greater stability might raise the potential for jazz-similitude, Berg avoids all hint of a fluent 2:1. The sole exception occurs in his *Lyric Suite*, with the fervent opening to the ‘Trio estatico’ at III, bars 69-75, shown in [Example 3.11](#), in which the violins enunciate a

**EXAMPLE 3.11**Berg, *Lyric Suite*, third movement ('Allegro misterioso – Trio estatico'), bars 69-73

♩ = 150

The musical score for Example 3.11 consists of two systems. The first system covers bars 69-73 and includes four staves: Vn.1 con sord., Vn.2 con sord., Vla. con sord., and Vcl. con sord. The tempo is marked as ♩ = 150. The key signature has one flat (B-flat), and the time signature is 3/2. The first system includes dynamics like *ff* and *pizz.* (pizzicato), and performance instructions like *con sord.* (con sordina) and *arco* (arco). The second system starts at bar 72 and continues through bar 73. The music features complex rhythmic patterns with triplets and syncopation.

liting syncopated figure rendered somewhat ambiguously ‘waltz-like’; but the jagged accompanying enunciations to the outlay only partly distract the listener from Berg’s resolution, of effects that must otherwise render a ‘3/2’ effect predominant, in a continuous liting flow that could stand interpretation as a response to swing. An echo of this passage occurs at bars 12-13 in the ‘Adagio appassionato’. With other passages of rapid triple time in Berg’s music, stipulated in the same work for instance, as 12/16 in the ‘Allegro misterioso’, shown in [Examples 3.12](#), and as 3/8 for the whole of the ‘Presto delirando’, his only contribution to a robust, Beethovenian form of Scherzo, [Example 3.13](#), all prospect of jazz-similitude via swing disintegrates in a welter of staccato threes. Where Berg resorts to triplets as an accompaniment figure, as happens in this work in bars 23-30 of the ‘Adagio appassionato’, illustrated in [Example 3.14](#),

**EXAMPLE 3.12**

Berg, third movement ('Allegro misterioso'), bars 45-49

[ ♩ = 200 ]

Vn.2  
Vla.  
Vcl.  
Vn.1

*col legno* (bowed)  
*pp*  
*col legno* (bowed)  
*pp*  
*col legno* (bowed)  
*pp*  
*col legno* (bowed)  
*pp*  
*col legno* (bowed)  
*pp*  
(struck) (bowed)  
(struck) (bowed)  
(struck) (bowed)  
(struck) (bowed)  
(struck) (bowed)  
(struck) (bowed)

**EXAMPLE 3.13**

Berg, fifth movement ('Presto delirando'), bars 1-7

HEMIOLA-TYPE UNDERMININGS OF THE LILTING TRIPLE EFFECT

♩ = 115

*ff*  
*ff*  
*ff*  
*ffp*  
*piz*  
*f*  
*f*  
*f*  
*f*  
*ff*  
*ff*

**EXAMPLE 3.14**

Berg, Lyric Suite, fourth movement ('Adagio appassionato'), bar 25

[ ♩ = 69 ]

Vcl.

*p*





**EXAMPLE 3.16**

Berg, Chamber Concerto, second movement ('Adagio'), bars 330-332

[ Schleppehend ♩ = ca.48 ]

The musical score consists of three staves. The top staff is for Eb Clarinet (Eb Cl.), the middle for Clarinet (Cl.), and the bottom for Solo Violin (Solo Vn. senza sord.). The music is in 2/4 time and features a series of triplets. Dynamic markings include *p*, *piu p*, *pp*, and *ppp*. The tempo is marked as [ Schleppehend ♩ = ca.48 ].

resonance of folk or waltz idioms that may also pertain;<sup>30</sup> thus, aside from the fact that Berg wrote his Three Orchestral Pieces well prior to the advent of jazz, the fragments in the example shown from that work clearly resemble waltz music more than any other source. Whether taken to indicate 2:1 or sublime rhythmic flow,<sup>31</sup> 'swing' does not at this point seem significant as an influence on Berg. Most of these fragments will remain texturally obscure for the listener, and for a composer who did not live to hear the freer mode of enunciation that came to mark modern jazz would appear to resist any obvious form of significance outside input limited to the European domain.

The reservations and distractions that, according to this view, may arise from a review of Berg's paradigmatic use of triple time nevertheless prove increasingly insubstantial when comparing more carefully the roles of swing and syncopation in jazz as a genre. As noted earlier,<sup>32</sup> both of these elements prove paradigmatically necessary to jazz in the period of overlap with Berg's career; yet as additionally observed,<sup>33</sup> developments in jazz by the 1930s had lowered the level of tempo, and had started to emphasize 2:1 to an extent that often consigned syncopation to a minimal element for purposes of generic recognition. For example, as one of the sounds of the period that ultimately emerged, the big band style of Tommy Dorsey employed counter-accent sparingly,<sup>34</sup>

**EXAMPLE 3.17**Strachey, *In Party Mood*, bars 9-12

as  by convention throughout



while, as shown via the notational latitude of [Example 3.17](#), the popular radio tune *In Party Mood* of 1942 by Jack Strachey shows that music does not need syncopation at all to sound like jazz. The infectious lilt of this tune, debarred as jazz proper in view of an undisturbed pulse, reflects the composer's position as a Swing Era tunesmith.<sup>35</sup>

In this context, the idea of a jazz-similitude based especially on Stravinsky's music emerges as flawed by jazz-ragtime obfuscation and as valid only for the brief time in which the rapid tempo and fractured articulation of early jazz would have encouraged a delightful sense of encounter. Such a flaw would explain the difference of opinion in jazz circles represented by Hodeir on Stravinsky's *Ragtime for Eleven Instruments* of 1919,<sup>36</sup> as against Adderley on the same composer's *Ebony Concerto* of 1945,<sup>37</sup> likewise the fiasco during the interim period that occurred as the outcome of a project negotiated with Jack Hylton by an enthusiastic Stravinsky to play his *Mavra* as part of a jazz concert at the Paris Opera House in 1931. According to one of the participants:

We started off alright, maybe a little tentatively, and confidence grew slightly. Then, funny things began to happen; Jack's arms began to flail meaninglessly, aggravating a situation that was already dicey. His face went pasty-coloured and shiny with sweat...The flailing of his arms became more pronounced and more off-putting. Between the odd burps and coughs from the instruments we heard him muttering, only just audibly, "Take no notice of me, I'm...lost!"<sup>38</sup>

If the disintegration described owed much to Stravinsky's frequent changes of accent, then the collapse of a postulate of jazz-similitude over-dependent on syncopation and under-dependent on fluid aspects of enunciation obviously follows as a concomitant.<sup>39</sup>

This consideration keeps the possibility of identifying a response by Berg to jazz on the basis of swing open; for, at least in general auditory terms, the composer acquired a steadier, more definite sense of tempo and added the sound of the saxophone – and in *Lulu* the vibraphone – to complex legato textures during the period in which the genre grew slower and more lilting, and often less syncopated. In America, the bands of Paul Whiteman and Guy Lombardo, with – for Europe – the proselytizing British figure of Jack Hylton in their wake grew famous, in trying to tame jazz by using tonal and timbral aspects with more rhythmic restraint.<sup>40</sup> In consolingly amalgamating the 'hot' and 'symphonic' forms of jazz after the Wall Street Crash of 1929, 'swing' music drew on arrangers such as Don Redman and Fletcher Henderson, to turn Tin Pan Alley and show tunes into sophisticated ensemble showcases not only for dance purposes but also for solo virtuosity'.<sup>41</sup> The gentler, less heterophonic effect imparted by an assiduous approach to detail thus led to greater affinity with the more measured, lyrical aspect of Berg's style. *Vis à vis* the dual foundation of jazz mooted by Adorno, therefore, the idea of a more suave form of 'emblematic' classical relationship to jazz in terms of instrumental timbre emerges as perhaps amenable to a deeper form of rhythmic enrichment than the 'rag-as-Dixieland' stereotype, given the reduced tempo.

### **3.2.1 The obstacle of 2:1 parody**

Berg nevertheless cannot emerge as indebted to swing let alone contend for the kind of mediating role that jazz had quickly rendered impossible for Stravinsky unless

textures in his music yield evidence of 2:1 lilt to a stylistically positive degree. In lieu of any resort by Berg to obvious rhythmic features, this fact leaves no option other than to debate the nature of thresholds of recognition, so perhaps the differences in emblematic function for classical music of swing as against syncopation. Without debate, the emphasis on syncopation as an emblem of jazz may leave an impression that a 'jazz-like' composition based on swing needs obvious lilt effects to suggest a relevant degree of paradigmatic saturation, just as one based on syncopation needs obvious cross-accents. In which case, the issue plainly hinges on the fact that whereas syncopation marks out jazz from classical music rather mildly, swing rhythm stands as an emblem of generic distinction in the harshest, and most categorical way; and that whereas the separation of jazz from classical music by parody remains much mitigated via syncopation, utilization of swing leads to abrupt stylistic imprisonment.

With mitigated forms of parody, a composer may assimilate the input from a model such as jazz in a hostile or amiable way. The amiable way may readily function as a conduit too, by which to assimilate influences in a manner that practically abolishes any mocking sense of separation. Syncopation facilitates this form of relationship by constituting an element that, as with passages in the first movement of Beethoven's Fourth Symphony,<sup>42</sup> classical music has used well in advance of contact with jazz. From this perspective, the eighth of Schoenberg's Variations, Op. 31 constitutes a arguably hostile form of jazz parody,<sup>43</sup> Milhaud's *Création du monde* an amiable form,<sup>44</sup> and parts of Stravinsky's *Symphonies of wind instruments* arguably a form of parody in which that sense grows blurred to the point of extinction;<sup>45</sup> thus, clearly, any 'hostility' in the variation by Schoenberg will depend on dynamic emphasis, for this composer cannot have failed to recognize a negotiable aspect if only instinctively.

With swing rhythm, on the other hand, a problem arises; for although still occupying a place in the classical range of effects in principle, the 2:1 species of enunciation has in practice suffered severe aesthetic degradation since the eighteenth century.<sup>46</sup> No serious composer since then can have utilized the attractive manner of 2:1 rhythms without at the same time undermining feelings of ingenuousness by association with parody of a hostile kind. That degradation has involved two main phases: first, in the period since the end of the Baroque and up to the advent of jazz, mainly to do with the staccato form, in which classical opinion came to view 2:1 enunciation as ‘frivolous’; and, second, in the period during the advent of that genre, mainly to do with the legato form, in which, on grounds strongly linked to prevailing racial forms of prejudice, the view arose of 2:1 as also fundamentally ‘salacious’. The development of these stances will additionally have related not inconsiderably to the issue of tempo, rapid or slow.

Accordingly, in the first phase, the staccato, ‘Gigue’-like type of 2:1 fell into a general state of ridicule, regarded entirely as a way of pillorying an effect that in former times

### EXAMPLE 3.18

Berlioz, *Symphonie fantastique*, Finale (‘Songe d’une nuit de sabbat’), bars 41-45

sounded simple, boisterous and ‘carefree’; hence, in the wake of Beethoven’s wistful attachment in his ‘scherzi’ to gigue-type rhythmic forms for which Baroque composers felt no shame, Berlioz employed harsh staccato enunciations in the ‘Witches’ Round Dance’ from his *Symphonie fantastique*, as shown in [Example 3.18](#),

**EXAMPLE 3.19**

Mahler, Symphony No. 2, fifth movement (Finale), Fig. 15, bars 1-9

Allegro energico - Kraftig [Triplets encourage rhythmic loosening of dotted rhythms]

Strs. *f* *ff* martellato

to impose a mood of intransigently satirical aggression; and, as a development of the greatest consequence for the issue presently under investigation, lively musical-hall ditties, such as ‘Daddy wouldn’t buy me a bow-wow’, and ‘The man who broke the bank at Monte Carlo’,<sup>47</sup> exploited the sense of effrontery generated by a use of the non-legato form in the sphere of bourgeois entertainment, as the reciprocation of a tendency in classical music that would yield examples such as Dukas’s *Sorcerer’s Apprentice* and Richard Strauss’s *Till Eulenspiegel*. A ‘2:1’ degradation of dotted rhythms at moderate tempi thus also emerges by the end of the century as available for satirical purposes, as with the vulgar march at Fig. 15 in the finale to Mahler’s Second Symphony, as shown in Example 3.19; unsurprisingly, therefore, in a highly ‘earnest’ context, the dotted rhythms at bars 107-110 in the ‘Marsch’ from Berg’s *Three Pieces, Op. 6* show debt to Mahler solely through an exaggerated jaggedness.<sup>48</sup>

As an easygoing form of ‘parlando’ at medium tempi in music-hall songs, by contrast, a legato 2:1 effect derived from dotted rhythms seems to have prepared for the second phase, and the emergence of the American show tune and of swing music, with such favourite numbers as ‘Lily of Laguna’, ‘Little Dolly Daydream’, as shown in Example

**EXAMPLE 3.20**

Stuart (to words by Stuart), 'Little Dolly Daydream' [1897], refrain bars 1-4

[ Moderato ]

Litt-le Dol-ly Day-dream, pride of I-da-ho, so now you know, \_\_\_\_\_ and will ye go? \_\_\_\_\_

**EXAMPLE 3.21**

George Gershwin (to words by Ira Gershwin), 'Someone to watch over me', refrain, bars 1-4

Performed comfortably as:

There's a some bod-y I'm long-ing to see. I hope that he Turns out to be

3.20, and 'By the light of the silvery moon'; this use of dotted rhythms anticipates the tendency of jazz musicians – as already encountered<sup>49</sup> – to disdain the precision of compound time to indicate 2:1 and instead, along with 'straight eighths' at speed, use dotted rhythms at slower tempi, as shown in Example 3.21.<sup>50</sup> The legato phase thus appears to have arisen from within the staccato phase. This fact, although relating to tunes presumably free of the charge of 'salaciousness', confirms an impression of 2:1 as a frivolous kind of rhythm. A kind of rhythmic effect thus emerged as not otherwise available to any in the context of serious music bar the incompetent: thus context will expose amateurishness and mark an effect in classical music as not only wrong but now also jazz-like, and so 'artistically' contemptible.<sup>51</sup> A legato addition to slackened dotted rhythm by latter-day composers may especially only occur if rather



**EXAMPLE 3.22**

Brahms, *Symphony No. 1 in C minor*, first movement, bars 78-84



**EXAMPLE 3.23**

Sousa, *The Washington Post* [1989], bars (40)-47



**EXAMPLE 3.24**

Webern, *Six Orchestral Pieces Op. 6, No. 2*, bars (19)-22



unusually they wish to suggest light-heartedness, as in the finale of Sibelius's *Karelia Suite*, or jazz age facetiousness, as occurs in the 'Popular Song' of Walton's *Façade*.<sup>52</sup>

With the end of World War One in 1918, staccato forms of 2:1 went out of fashion in a classical music in which a renewed sense of seriousness affected even the lighter impulses present in neo-classicism.<sup>53</sup> Naturally legato forms also remained debarred, as a marginalized effect much earlier on, by hinting at an easygoing quality that

serious composers could not tolerate:<sup>54</sup> thus the legato form that signally occurs in the first movement of Brahms's First Symphony, as shown in Example 3.22, and that also associates with the 'Berlioz-like' staccato forms that appear from Fig. C, in any case links to a paradigm clearly mapped out by that time as otherwise much too easy-going for general utilization; since associations of legato 2:1 by that time lay mainly in music of a vulgar cast, such as with Sousa's *Washington Post*, shown in Example 3.23, Brahms evidently acted wisely in his choice of a minor key.<sup>55</sup> This undeniable association even of legato – a milder sound than staccato – with a world of vulgar frippery hence enables Webern to utilize that form to horrifically disgusted effect at bar 19 of the second of his Six Orchestral Pieces, Op. 6, as shown in Example 3.24.

In a jazz dedicated to the impulse for seamless fluidity, of course, the effortful aspect of staccato could not fit easily: musicians of the time had practically no use for the staccato form of 2:1, using legato continuously, or placing their sharper attacks among a variety of textural nuances.<sup>56</sup> If, in spite of temporally moderate levels of activity, the focus with jazz in the 1920s lay in quick, ebullient numbers,<sup>57</sup> often raucous in dynamics and combinations of instrumental timbre, then, at the very least through the issue of sheer physical necessity, the smooth effect of legato prevailed in this music, and contributed, through a corruption of the 1:1 effect from within, to the general impact of the music as 'licentious', both physically and by prejudiced forms of association 'morally'. If, on the other hand, jazz in the 1930s did not lack a rapid temporal form, then the primary association of the music during this period lay in the soothing, often 'smooching' forms at slower tempi, evolving at the end of the 1920s through the influence of 'symphonic jazz'.<sup>58</sup> A general slowing-down of the pace of the music, though obviously a response to a desperate social need,<sup>59</sup> nevertheless

depended on retaining a 'salacious' element of facility within an effect otherwise very much an extension of the music-hall sense of 'parlando'. If 'licentious' would still continue to apply to the quicker forms of swing music, then perhaps 'lubricious' would serve very appropriately for the slower, more legato, more characteristic forms.

As a result, in the most sophisticated way imaginable, 2:1 acquired an association as mainly legato, and as at least to some extent 'salacious'. If music hall numbers show that white musicians dealt in slack legato rhythms well prior to the advent of jazz, testimony about printed ragtime using dotted rhythms from about 1911, cited by Collier as pertaining to the seedbed for jazz as a music 'essentially about dotted rhythms',<sup>60</sup> shows, if 'imprecisely', a stylistic transference ultimately delineated in racial terms.<sup>61</sup> The picture emerges very forcefully of 'serious-minded' white people finding reason to jettison the entire 2:1 effect as one pejoratively associated with black people.<sup>62</sup> In this context, the legend of jazz as a genre that grew in the wake of the dispersal by the U.S. Navy in 1917 of the red light district of New Orleans and the musical community that had thrived therein must count importantly in providing a final *coup de grace*.<sup>63</sup> The notoriety of jazz as in any case a raucous kind of music *vis à vis* tempo, dynamics and instrumental timbre would consequently carry from that time onwards a simultaneous undermining of the very spirit of serious-mindedness by means of a lax and disdained form of rhythmic enunciation, which, events suggested, found approval by part of mankind supposedly incapable of decent moral conduct.<sup>64</sup> If this association may on occasion have applied less virulently outside America, above all in Paris in the 1920s,<sup>65</sup> then the underlying question of racial divergence remains.<sup>66</sup>

Whether as slackened dotted rhythms, or as distorted ‘straight eighths’, or in exactly notated form, such as tripletized crotchet-quaver patterns, therefore, the 2:1 form of parsing can have no overt role as a ‘serious’ form of expression, White entertainers may ‘swing’, certainly,<sup>67</sup> but not classical composers,<sup>68</sup> for the slightest manifestation will instantly suggest an entire forbidden paradigm; and the problem of mitigating the effect of 2:1 parody does not vanish simply by means of fragmentation, for unmediated fragments of swing merely startle the listener with a sensation that would grow ludicrous with more continuous kinds of passagework. In the first movement of

### EXAMPLE 3.25

Bruckner, Symphony No. 6 in A, first movement, bars 183-187

The musical score for Example 3.25 shows three staves: Horns (Hn.), Trumpets (Tpt.), and Violins (Vns.). The Horns part begins with a dynamic of *p* and a tempo marking 'wieder ruhiger'. The Trumpets part has a dynamic of *p* and a tempo marking 'dim.'. The Violins part consists of a continuous triplet pattern. A box highlights a specific triplet pattern in the Trumpets part.

### EXAMPLE 3.26

Mahler, Symphony No. 1 in D, first movement, bars 167-170

The musical score for Example 3.26 shows two staves: Flute (Fl.) and a section labeled 'Performed as:'. The Flute part has a dynamic of *p* and a tempo marking 'dim.'. The 'Performed as:' section shows a triplet pattern.

Bruckner’s Sixth Symphony, At Fig. L, bars 25-28, shown in [Example 3.25](#), for example, the trumpet player in the performance recorded by the New Philharmonia Orchestra directed by Otto Klemperer delivers the dotted rhythms as a loose effect that would go well in a swing band,<sup>69</sup> but that even in this ‘naïve’ context rings out in a void; likewise, in the first movement of Mahler’s First Symphony, at bars 169-170,

the use of a dotted rhythm to embellish a flute ‘bird call’ makes the performer slacken the original rhythm incongruously as shown in [Example 3.26](#). As Berg neither creates anomalies in this way nor arouses contempt by using continuous 2:1, seriously meant examples of the ratio cannot occur at all in his music without negotiated concealment.

### 3.2.1.1 Dotted rhythms in Berg’s music as a cipher of jazz-similitude

The impossibility of mitigating 2:1 rhythms in the straightforward way available with syncopation also finds expression in the fact that serious composers have very much had the option, as shown in [Exercise 3.27](#), of declaratively alluding to the lilting effect of swing – an effect to which tripletized crotchet-quaver patterns obscurely present in

#### EXAMPLE 3.27

Stravinsky, *Ragtime for eleven instruments*, Fig. 3, bars 1-5

The musical score for Example 3.27 consists of two staves. The top staff is for a woodwind instrument, marked '+Wind'. It begins with a tempo marking of quarter note = 160. The music is in 2/4 time and features a complex rhythmic pattern with dotted rhythms and syncopation. The bottom staff is for strings, marked 'Strs. pizz.' (pizzicato). The dynamics range from *f* (forte) to *sf* (sforzando). The score shows five bars of music, with the woodwind part becoming more active in the later bars.

Berg’s music would ironically point more than to European folk models on account of a complex, novel formation<sup>70</sup> – when using dotted rhythms to mean exactly 3:1, an extremely stilted convention that, as with Stravinsky’s *L’histoire du soldat* of 1918 and *Ragtime for eleven instruments* of 1919, applied in the period of early encounter with jazz. Surprisingly for a jazz writer with sensitivity and acumen, André Hodeir does not seem to appreciate the severe prohibition to which this double parody relates:

Although *Ragtime pour onze instruments* was composed several years before [Milhaud’s] *La Creation [du monde]*, Stravinsky’s writing shows a distinctly more highly developed sense of jazz. In places, the formulas used by the Russian master attain a rhythmic flexibility that makes them resemble the riffs of jazzmen...It is too bad that Stravinsky, undoubtedly under the influence of the inexact system followed in the scores that helped him become acquainted with Negro-American music, uses a misleading notation, putting a dotted

**EXAMPLE 3.28**

Krenek, *Jonny spielt auf*, Act Two, Scene 6, bars 825-830

[ 4/4 - sempre più vivo ]

Yvonne

Gei - ge, Wel - che Gei - ge? Jon - ny, was hast du mit der Gei - ge denn zu schaf - fen?

Jonny

So woll - test

ver - ra - ten, wie - se?

du mich nicht ver - ra - ten?

The musical score for Example 3.28 consists of three systems. The first system features a vocal line for Yvonne with the lyrics 'Gei - ge, Wel - che Gei - ge? Jon - ny, was hast du mit der Gei - ge denn zu schaf - fen?' and a piano accompaniment starting with a mezzo-forte (mf) dynamic. The second system continues the vocal lines with Yvonne singing 'ver - ra - ten, wie - se?' and Jonny singing 'So woll - test'. The piano accompaniment becomes fortissimo (ff). The third system shows Yvonne singing 'du mich nicht ver - ra - ten?' and the piano accompaniment continuing with a strong rhythmic pattern.

**EXAMPLE 3.29**

Berg, *Chamber Concerto*, Finale ('Rondo Ritmico con Introduzione'), bars 535-6

Rondo ritmico ♩ = 90

Wind

pp

p

Violin

mf

Piano

ppp

mf

pp 3

The musical score for Example 3.29 is for the 'Rondo ritmico' section of Berg's Chamber Concerto. It features three staves: Wind, Violin, and Piano. The tempo is marked 'Rondo ritmico ♩ = 90'. The Wind part begins with a piano (pp) dynamic and features a melodic line with various intervals. The Violin part starts with a mezzo-forte (mf) dynamic and plays a rhythmic, eighth-note pattern. The Piano part begins with a pianissimo (ppp) dynamic and provides harmonic support with chords and moving lines. The score includes dynamic changes to piano (p) and mezzo-forte (mf) for the Wind and Piano parts, and a triplet of piano (pp) notes for the Piano part.

quarter [sic] note and a sixteenth note when he should have written a triplet made up of a quarter note and an eighth. This basic slip, which was also made subsequently by Milhaud, Ravel, and all the other musicians who tried to write “in the style of jazz” could not help leading to a distortion of the occasionally very well thought out rhythms of *Ragtime*.<sup>71</sup>

In fact, as demonstrated by the incongruity of Stravinsky’s *Ebony Concerto*, as a work written in 1945, after a period in which the composer would have grown used to the habits of American jazz rhythm,<sup>72</sup> *Ragtime* would not have sounded right adapted in this way; a disclaimer by Hodeir over the later work suggests awareness of this fact.<sup>73</sup>

German composers found this form of allusion even more attractive, doubtless in concomitance to a musical rigidity associated with Prussian militarism, manifest in a ‘jazz’ theatrical context by the dotted ciphers for ‘swing’ that pervade Weill’s *Dreigroschenoper* of 1923 and *Aufstieg und Fall der Stadt Mahogonny* of 1926,<sup>74</sup> and in Krenek’s *Jonny spielt auf* of 1925, shown in [Example 3.28](#). This abrupt and jerky effect clearly fitted with a more acerbic approach to jazz in Germany than in France:

After the Russian emigrant Stravinsky, it was the young Darius Milhaud who, fascinated by the music of the New World, introduced the sounds and textures of popular bands into the post-war theatre and concert-hall. But while the Milhauds, Poulencs, Wieners, and Francais produced a succession of fluffy parodies, bitter satire prevailed in Germany ... in the output of ‘democratically’ inclined artists like Weill, Eisler and Dessau.<sup>75</sup>

Berg also appears to have succumbed in the 1920s to the idea of rapid chains of dotted rhythm standing in for the hectic ebullience of Dixieland, as occurs in the finale of his Chamber Concerto including the opening shown in [Example 3.29](#). Especially when seen as scored in a vaguely ‘jazz-like’ way, and connected to rag-like syncopation by means of a *Hauptrhythmus*,<sup>76</sup> the work deserves regard as a contribution to the early species of jazz simulacrum, as such his only one.<sup>77</sup> As an attempt to allude to jazz by avoiding slackening the dot, in the manner that induces jazz scribes to use this format

to stipulate an easygoing lilt,<sup>78</sup> precise dotted rhythms emerge in this context as associating, most readily of all, with the Teutonic approach to this issue in the 1920s.

As would constitute a superb example of this culturally abstemious substitution, if demonstrable enough, the dotted rhythms that abound in the finale of Berg's Violin Concerto even open up the possibility of his transformation of a swing-related cliché, when the emergence, by 1935, of a more leisurely kind of jazz had rendered the dotted approach jejune. and apparently negotiable.<sup>79</sup> The *Hauptrhythmus* that dominates the first half of Part Two of this work, and that relates to effects in Part One, accordingly emerges as conceivably representing a transmutation, not only – as noted earlier<sup>80</sup> – of the syncopated aspect of jazz, but also of the swing aspect: as suggested by Example 3.30, this rhythm would stand for an actual jazz-swing cliché, consisting of a swing

### EXAMPLE 3.30

Berg, Violin Concerto, Part II/1, bars 35-36

Pesante, ma quasi in tempo

Solo Vn. *mp*

As though: [ with slight accelerando ]

← JAZZ-SWING CLICHÉ

couplet followed by two swing syncopations;<sup>81</sup> the incommensurable elements of rhythmic proportion and span would thus function as part of the act of ‘enciphering’. The extent and auditory power of this parallelism hence emerge as a form of evidence.

### EVIDENCE OF BERG'S RESPONSE TO SWING. ITEM ONE:

In full contextual terms, the *Hauptrhythmus* in the Allegro from Part Two of Berg's Violin Concerto emerges as fit for an appraisal as evidence, on the following grounds.



- Contains a prominent dotted rhythm, viewable within a well-established tradition, not least in Germany, of ‘swing’-enciphering via jagged 3:1 patterns.
- Berg diminishes the sense of connection of this rhythm to the dotted rhythms of Baroque music through his mild but significant adherence in the work to jazz-like timbres and harmonies.
- Also contains two differing forms of syncopation that incorporate this dotted rhythm – as in any case a distorted form of parallelism – within a view of the whole *Hauptrhythmus* as roughly equivalent to an existing jazz-swing cliché.<sup>82</sup>
- The feeling of distortion shrinks to a minimum when regarding Berg’s rhythm as coextensive with the cliché, which as a result emerges as more compatible through a slight effect of *accelerando*.

**EXAMPLE 3.31**

Berg, Violin Concerto, Part II/1, bars 117-(119)

The image shows a musical score for Example 3.31, which is a section from Berg's Violin Concerto, Part II/1, bars 117-119. The score is written for piano and solo violin. The tempo is marked as quarter note = 59. The piano part features a prominent dotted rhythm and syncopation, with dynamics ranging from *ff* to *fp*. A section of the piano part is highlighted with a box and labeled '+Tpts. con sord.', indicating the entry of trumpets and trombones with mutes. The violin part is marked 'Solo Vn.' and 'f', showing a melodic line that interacts with the piano's rhythmic patterns. The score is presented in a standard musical notation format with treble and bass clefs for both instruments.

- Berg heightens the feeling of parallelism for the listener by his climactic enunciation of this rhythm, or derivatives, on muted trumpets and trombones, at II, bars 42-4, and later climactically at II, bars 118-9, as shown in Example 3.31, thus increasing a feeling – whether valid or not – of intent on his part.<sup>83</sup>

Given the composer's taste for jazz records in those years,<sup>84</sup> and the noticeable extent to which jazz-like aspects of tonality and timbre permeate his Violin Concerto,<sup>85</sup> the idea does not seem odd for this rhythm to have acted at this time as a stylistic bridge.

Seven days after the composer finished his score, jazz made phenomenal progress towards complete recognition by American society in an astounding, publicized event, most pertinently a fact dependent on the high salience of 2:1 in swing at slower tempi:

Between the middle of April and the beginning of July, [Benny] Goodman cut some of his best sides... The band was soon set for a cross-country tour...at Elitch's Garden, where most of the top bands had been playing, Goodman underwent what he later described...as "just about the most humiliating experience of my life." On opening night people started asking for their money back and the manager wouldn't be mollified until the band started playing waltzes...so that what happened shortly thereafter on the band's first West Coast engagement, a one-night stand in Oakland, California, became all the more gratifying. For the first time the band scored a resounding triumph. People had lined up outside waiting to get in to hear the new group and responded with cheers to each swinging number. From Oakland, Goodman went to the most famous of all West Coast ballrooms, Hollywood's Palomar, for an August 21 opening... Gene Krupa recalls, "We played the first couple of sets under wraps. We weren't getting much reaction, so Benny, I guess, decided to hell with playing it safe and we started playing numbers like 'King Porter Stomp.' Well, from then on we were in!" The engagement was a smash. Kids gathered around the bandstand and screamed for more. Their cheers and the band's swinging sounds were swept coast to coast via a series of broadcasts from the Palomar. Swing was really in! ...then began what was supposed to be a three weeks' engagement in the Urban Room of Chicago's Congress Hotel. Three weeks? Maybe that's what the original contract called for. But Benny Goodman, now tabbed "The King of Swing", and his Orchestra stayed there for eight months! When they finally left, there was only one thing the management could do for a follow-up: it closed the room and redecorated it.<sup>86</sup>

As Gunther Schuller remarks with regard to the great social importance of this event:

The surprising and not-altogether explicable success that followed in California at the Palomar saved the band at the eleventh hour, and within a few weeks catapulted it to national fame. The essential message Goodman received from the young audience that night and in subsequent weeks was that the Fletcher Henderson style arrangements, and Goodman's smart performances of them, had struck home at last. Here was a happy and rare coincidence: a large segment of the public seemed to prefer the best and most advanced arrangements the band had to offer, not, for once, the worst. Incredibly, jazz – at least one kind of jazz – had reached a potentially huge audience.<sup>87</sup>

Although uncertainty must persist about the extent to which recordings of this music would have reached Berg's ears by that time, an examination of some of the recorded material indigenous to Germany and Austria certainly supports the idea of 2:1 lilting as responsible for a major transformation of the rhythmic vernacular in those areas.<sup>88</sup>

**VERDICT ON EVIDENCE, ITEM ONE:**

As a result, when considered both in sound and in score, the *Hauptrhythmus* of Berg's *Violin Concerto* conduces to a strong sense of possibility that the composer responded to swing, if in no more than a semi-conscious way, by means of that musical device.

**3.2.1.2 The obstacle apparently immitigable**

The foregoing nevertheless confirms the finality with which swing rhythm remains excluded as an overt option for serious musical purposes whether paradigmatically or 'emblematically' via tripletized crotchet-quaver fragments. For example, the extent to which the last note of the *Hauptrhythmus* used by Berg in his *Violin Concerto* creates a rhythmic pre-emption that heightens a sense of swing-like negotiability, points to a limit that serious music may not transgress.<sup>89</sup> Accordingly, the frame of reference remains in which 2:1 rhythms have stood as an effect to avoid, except by means of a resort to parody,<sup>90</sup> while dotted rhythms served briefly by means of jagged distortion as a species of swing-like allusion. At very slow tempi, of course, the danger of 'frivolity' recedes, making neutralization redundant; thus at the end of Act One, Scene 2 of Berg's *Wozzeck*, an exceptional historical context plus – in jazz parlance<sup>91</sup> – the slowest possible sense of 'stomp' permits a degree of elision not even attempted by Ives.<sup>92</sup> At quicker tempi, a fear of 'salaciousness' obliges an exaggeration by staccato, or a hemiola-inclined undermining in the genre of waltz. As the examples by Sibelius and Walton mentioned demonstrate,<sup>93</sup> a use of slurs with 2:1 at rapid tempi can only

endanger reputation: who could guess that the Fourth Symphony of the former or First Symphony of the latter sprang from the composers of the *Karelia Suite* or of *Façade*?

A comparison of Stravinsky's *Sacre du printemps* and *Ragtime for eleven instruments* shows that no such question arises with regard to syncopation. In this area, the ground separating parody from rhythmic parallelism remains open to an extent of facilitating considerable stylistic exchange;<sup>94</sup> on this basis, no matter how an incapacity for swing rhythm may damage the view of Stravinsky's *Ebony Concerto* among jazz musicians such as Cannonball Adderley,<sup>95</sup> the creative brokerage of rhythms in terms of cross-accentuation contributes to a work that readily deserves regard as a masterpiece. The 'sympathetic' anti-legato in decorous 2:1 parodies on the other hand, whether directly drawn from a folk model, as with Marie's lullaby in Berg's *Wozzeck*, or drawn in an indirect way as a Baroque stereotype, as with the 'Forlane' from Ravel's *Tombeau de Couperin*, reinforce a sense of social or historical remoteness, and show that except for the hunting song reminiscences concluding Act One, Scene 2 of Berg's *Wozzeck*,<sup>96</sup> no such brokerage pertains with swing-like lilt. In this emblematic area, the overt relationship of classical music and jazz remains emphatically unmitigated and hostile.

### **3.2.2 A tripletized crotchet-quaver shape in *Der Wein* – the possibility of a jazz-related quotation**

The prospect of starting to uncover the grounds by which to view Berg's work as more positive in this area grows precisely from the extremity of this situation, for a need to mitigate the severity of parody effect that attaches to 2:1 amplifies greatly the appreciation of a link by any means at all, whether in sound or in score; thus significance may attach to tripletized crotchet-quaver patterns occurring in complete obscurity from the listener, provided other features prevail to distinguish the whole as

more probably swing-related than, say, waltz-related. The idea that these patterns refer to antique folk models, or to old-fashioned, waltz-like models, more than to contemporaneous and thus more threatening models may indeed sink even further in this context under the weight of suggestion afforded by the idea of fragmentation as a covert act. In this context, the tripletized crotchet-quaver pattern appears ideally suited to an on-the-spot subversion, to any extent great or small, of a normative overlay of 1:1, a function suggested very pointedly when a composer such as Berg uses an encompassing square bracket in line with modern practice. Insofar as a composer has an underlying compact with the listener, a semi-audible use of patterns might connote swing more, if only with regard to a suppressed quotient that cannot function articulately.<sup>97</sup> In the end, however, speculation must yield to reasoning over the extent to which objects in sound or score emerge that can convey more precise information.

To the extent that such fragments do not attract attention at all, the possibility of course remains that prejudice against 2:1 carries so oppressive a weight as to consign such an activity solely to a 'department of covert operations'. A genuinely mediating role might function out of earshot, and readily on a minimal basis. As shown in Example 3.32, the short cadential phrase on violas at bars 74-5 in Berg's concert aria *Der Wein* springs to mind, as a virtually inaudible example of tripletized crotchet-quaver enunciation that would not conflict at all with this idea. As the earliest composed instance of such a pattern in Berg's music that deserves full consideration, in terms of a high degree of unequivocal swing-similitude, the shape not only involves a number of aspects that steer any argument completely away from the idea of association with folk or waltz music, but also resembles in an astonishing variety of ways an actual popular hit that Berg may have heard. The fact that 2:1 forms occur at

**EXAMPLE 3.32**Berg, *Der Wein* [1929], bars 74-5

- von dies - em Pflanz - en sei - me, Den Gott,

*poco f* *p*

Pfte

This musical score consists of five staves. The top staff is the vocal line with lyrics. The second staff is a piano accompaniment. The third staff is a piano accompaniment with dynamics *poco f* and *p*. The fourth staff is a piano accompaniment. The fifth staff is a piano accompaniment with the label 'Pfte' and a triplet of eighth notes.

**EXAMPLE 3.33**

Jones (to words by Kahn), 'It had to be you' [1924], refrain, bars (0)-3

Moderately Performed as:

It had to be you. - - - It had to be you -

This musical score consists of three staves. The top staff is the vocal line with lyrics. The second staff is a piano accompaniment. The third staff is a piano accompaniment. A box highlights the first three bars of the vocal line, labeled 'Performed as:'.

almost no other point in *Der Wein* especially serves to heighten interest in the resemblance of this fragment to the first two bars of 'It had to be you', the popular American tune released 1924 by Isham Jones and Gus Kahn, shown in [Example 3.33](#). If even a cursory examination of the two fragments shows a striking degree of similarity, then an exhaustive summary of aspects deserves consideration as evidence.

**EVIDENCE OF BERG'S RESPONSE TO SWING. ITEM TWO:**

Summarized as an interrelated entirety, the viola part at bars 74-5 of Berg's concert aria *Der Wein* emerges as fit for consideration as evidence on the following grounds:

- The step-wise aspect of the Jones and Berg fragments corresponds totally.
- The melodic appearance on the staff corresponds totally, including the tally of alto clef pitches to aficionados of the tune as though 'E D E F#', with only the initial Eb interfering with the perfect transference; this resemblance highlights the importance to Berg of visual, notated aspects as material for allusion.<sup>98</sup>
- The two correspond as in each case an anacrusis into the first bar of a major section.
- The rhythm of the Berg – which he notates in tripletized crotchet-quaver form – corresponds with the usual way of performing the Jones.<sup>99</sup>
- The syncopation in the Berg debars a consideration of waltz-like or other forms.<sup>100</sup>
- With the Berg, the fragment represents the only example of such music in the work apart from the similarly tripletized patterns that the composer trails in the following couple of bars.
- Kahn's words fit conveniently for Berg as a source of relevant allusion given the Baudelaire text at that point in Stefan George's translation into German, '*Und du erhaltst...*', sung at the climactic point as shown in Example 3.34.
- Kahn's words would additionally equip any allusive use thereof by Berg in relation to the idea of the whole work as based on his surreptitious amour for Hanns Fuchs-Robbetin;<sup>101</sup> such a cryptic use of material fits as very Berg-like.<sup>102</sup>

**EXAMPLE 3.34**Berg, *Der Wein*, bars (72)-75

[ sehr langsam, ♩ = 36-44 ]

Und du - - - er - haltst - - -  
 Strings  
 f  
 3 3 3  
 3 3 3  
 3 3 3  
 3  
 von dies - em Pflanz - en - sei - me, Den Gott,  
 3 3 3  
 poco f  
 3 3 3  
 3  
 Pfte  
 3

- On the ‘ingenious’ periphery, perhaps, use of this tune after the first full climax in a slow piece would connect paradigmatically with Berg’s cryptic use of a quotation from Schoenberg’s *Pelleas und Melisande*, after the first full climax in the slow movement of his Chamber Concerto;<sup>103</sup> both works also feature related note-name cryptograms at the centre of a musical palindrome.



Given Berg's habit of purchasing sheet music for popular tunes during that period,<sup>104</sup> and his use of saxophone and rag-like parodies in this work,<sup>105</sup> the idea does not seem odd for this tune to have provided the composer with a source of symbolic reference.

If accepted as a quotation, then the fragment would demonstrate Berg's sensitivity to 2:1 lilt in popular tunes at the time of composing *Der Wein*; if not accepted, then the fragment still fits as a response to jazz swing, and not to other kinds of 2:1 music. If an awareness of swing 2:1 on Berg's part in 1929 should appear more difficult to envisage than an awareness in 1935, on account of jazz not yet having achieved quite the same salience in using that rhythm, not quite the same exposure in German-speaking regions, then the LP *Jazz and Hot Dance in Austria, Volume Five* shows – if lacking examples for the period 1917-1929 – that swing had emerged by 1930 as a commonplace in jazz-related music indigenous to Austria.<sup>106</sup> As Berg's love of the cinema had drawn him in the twenties to a showing of Chaplin's sentimental comedy, *The Kid*,<sup>107</sup> the composer may also have seen other American 'blockbusters' in that period, and perhaps heard the slower 2:1 in 'My mammy' as sung by Al Jolson in *The Jazz Singer* of 1927.<sup>108</sup> Finally, the sheet music for 'It had to be you', which he could have accessed, indicates a leisurely kind of swing via dotted rhythms in the piano left hand.<sup>109</sup> These considerations do not undermine a notion of awareness on Berg's part.

**VERDICT ON EVIDENCE, ITEM TWO:**

As a result, when considered in score, the viola fragment from bars 74-5 of *Der Wein* conduces to a sense of possibility verging on a distinct sense of probability that the composer responded to swing by means of that musical device, and very consciously.

### 3.2.3 Tripletized crotchet-quaver patterns in Berg's works after *Der Wein*

As *Der Wein* contains no examples of tripletized crotchet-quaver pattern outside the vicinity of the fragment examined, the question of a response by Berg to swing focuses almost entirely on whether, especially in an extra-musical context, this shape looks enough like a quotation to count as a sign of intent, or at least an assimilation of the tune unconsciously: otherwise, the undoubted similarity to swing rhythm would have carried much less force about the idea of influence, even in a work with other jazz-like features; and even so, despite aspects of jazz-similitude in this work relating to syncopation and timbre, the idea of a quotation emerges as stylistically partitioned in a manner similar to Webern's introduction of a nursery-style folk tune at bars 5-6 in the third of his Six Orchestral Pieces, Op. 6. In either situation, with the role of the listener in any case non-existent, the consequence for an examiner of the score only points to the relationship of a serious composer to swing as confined to the periphery.

Accordingly, the fact would appear significant that – as shown in Appendix A – Berg greatly increases his use of tripletized crotchet-quaver patterns in *Lulu*, as a work mainly composed during the period 1930-35;<sup>110</sup> thus although the span of this work far exceeds the span of *Der Wein*, the much greater scattering of this kind of rhythmic pattern in the opera would appear to highlight the idea of music of a nascent 'Swing Era' as increasingly taking hold of the public imagination at this time. If, as far as a preliminary examination can decide, tripletized crotchet-quaver patterns in this work do not resemble jazz tunes that might provide models for quotation, however, then the question of influence by jazz swing during this period grows more complex. The ultimately imponderable issue of whether Berg 'meant' isolated rhythmic patterns of this kind in *Lulu* as an allusion to jazz starts greatly to diminish in importance, for

especially in a culturally sensitive context, the unconscious power of the mind to direct choice must count far more as regards the intimate but debarred ‘feel’ of swing than the conscious one. A deliberate use of quotation will count for less. A great increase of this peculiar kind of rhythm, at least in parts of the opera compared to the preceding three works, consequently suggests that growing propagation of jazz coupled with a stylistic convergence by that genre upon Berg’s style via tempo and via sophistication of timbre and tonality had greatly increased his ambient connection.

To the extent that this scattering conduces to some kind of feeling of connection, the idea of advancing the data directly as evidence nevertheless appears impossible. Ultimately, in the absence of other forms of consideration, the idea of a liberal scattering of tripletized-crotchet quaver patterns even in a historically suggestive context does not lead to a feeling of possibility strong enough to counteract a possible confusion over the question of similarity to folk- or waltz-like sources.<sup>111</sup> Since Berg has linked almost none of these fragments to syncopations in any way, for example, he has left open-ended the question of pinning the patterns down. This difficulty persists notwithstanding a use of jazz-like instrumentation, and despite ideas about the format of such patterns as subversively connotative.<sup>112</sup> Berg’s fondness for this kind of pattern in pre-jazz works – as shown in Appendix B – such as his *Three Orchestral Pieces*, Op. 6, or first opera *Wozzeck*, also weighs against advancing this aspect as a form of evidence, notwithstanding a suddenly pervasive use of saxophone, or the fact that the patterns in *Lulu* mark a resurgence, after a decline in the period 1923-29.<sup>113</sup>

A short chain of tripletized patterns on saxophone at bar 1298 of Act One, Scene 3 of *Lulu* would appear to stand as an exception in providing a melodic outburst at the end

**EXAMPLE 3.35**

Berg, *Lulu*, Act One, Scene 3, bars 1297-8

[♩ = 80]

Dr. Schön

Sag' mir um Got - ten - wil - len was will ich tun

Cls.

Sax.

Vns.

Vcls.

Bns.

*p*

*f*

**EXAMPLE 3.36**

Berg, *Lulu*, Act Three, interlude to Scene 2, bars 708-711

Poco allarg. - - -

708 Ob./Cls./Pfte.

Grazioso

Strs.

Bns./Hp.

CBn.+pizz

*p*

*f*

710

of a phrase made swing-relatable by syncopations at either end, as shown in Example 3.35. In accompanying Dr. Schön's final outburst in Act One, Scene 3, in the face of Lulu's demand for his hand in marriage, this figure certainly stands interpretation as an expression of will-disintegration, and hence as linked to swing affectively; and the isolated phrase, pure and simple, undeniably seems interesting if simply mooted as a possibility. At the same time, Berg's 'house-style' in *Lulu* over this matter seems too vague not to endow the fact that he uses the phrase to effect a process of metrical modulation into the next section, with a strong capacity to cast an overwhelming shadow of ambiguity on the matter.<sup>114</sup> Indeed, without exception, the remainder of the examples of tripletized crotchet-quaver patterns in *Lulu* seem in terms of origin either obscure and indecipherable, as in Act One, Scene 2 at bars 957-8, or as justified by association with a context of triplets, as in Act Two, Scene 1 at bars 257-61, or with waltz-like figurations, as in Act One Scene 2 at bars 968, or with folk-like figurations, as in Act One, Scene 2 at bars 968-9; or in Act Three as a satirical embellishment to Wedekind's 'Lautenlied', as occurs on Scene 1 at bar 709,<sup>115</sup> shown in Example 3.36.

Accordingly, while in Act Two, Scene 1, at bar 331, a tripletized crotchet-quaver pattern breaks out as a form that Berg has hitherto avoided in the passage, at the apex of the melodic line as shown in Example 3.37, and at the very point in the drama at which Alwa can no longer contain his feelings towards his seductive stepmother, Lulu, but unleashes a torrent of impassioned erotic avowal, any feeling that such a rhythmic formation fits with the general idea of jazz swing, both affectively and historically, must prudently fall subservient to a reflection on the extent to which – as with the very similar gesture at various points in the *Lyric Suite*<sup>116</sup> – that form remains frustratingly poised on the edge of a resemblance also to the Romantic effusiveness of

**EXAMPLE 3.37**

Berg, *Lulu*, Act Two, Scene 1, bars 329-332

329 Lulu (doubled by Vns.)

Alwa *f* Sich mich nicht so an um Got - tes will -

Mig - non!

Tpts. *Schmetternd*

Hns. *mp* *f*

Tbns.

331

- en!

Rich - te mich zu grun - de! Mach' ein En - de mit mir

Fl./Vns. *mf* 3

*fp* *poco f* *fp*

*marc.* *meno marc.* *dolce*

waltz-music. Interest in Berg's unification of the idea of sensual release with a rhythmic form that, not only since the start of the eighteenth century had received a generalized form of artistic disapproval, but that also since the start of the twentieth century had acquired a racially focussed slant,<sup>117</sup> must as a result remain limited, and void of any recognition as substantial evidence of the composer's response to 'swing'.

### 3.2.3.1 A signal use of tripletized crotchet-quaver patterns in the Violin Concerto

In the Violin Concerto, conversely, the unexpected happens. To the extent that the emergence in *Lulu* of numerous examples of tripletized crotchet-quaver pattern, as only vaguely swing-relatable, render the great reduction in number of such patterns in the Violin Concerto as unsurprising, as thus appearing to show a sense of detachment by the composer from the continuing trends in jazz, the considerably swing-relatable aspects of the few patterns that occur in the latter work has a rather startling effect; that effect arouses interest very decidedly to rival the tiny zone of pattern production in *Der Wein*.<sup>118</sup> From an abundance of relevant adjuncts, the patterns in the Violin Concerto especially feature less equivocally, at least when brought to notice *qua* notation, as a reflection of the explosive international success of swing music in 1935,

#### EXAMPLE 3.38

Berg, Violin Concerto, Part I/1, bars 28-33

[ Andante, ♩ = 56 ] Solo Vn. *delicato*

*p delicato*

Fl.

Strs./Bn.

*pizz.*

Cls.

*pp dolciss.*

*poco cresc.*

Db. (*arco*)

[Note the descending figure for pizzicato cellos, as suggestive of a jazz bass fiddle]

the year of composition for that work;<sup>119</sup> and, although such shapes feature in the concerto only three times, Berg's concentration of the effect in one short passage near the start of the work, shown in Example 3.38, with an increased degree of salience, a marked degree of fluidity, a lyrically expansive yet syncopated quality on clarinets in the initial two, and an accompanying pizzicato figure on cellos like a jazz bass fiddle, suggests far more positively the idea of an influence towards swing rhythm evocation.

In respect of context, too, Berg provides grounds for optimism in this respect; for the short tripletized passage emerges at the end of a longer passage from the start of the Andante proper at bar 11, which – as shown in [Example 3.39](#) – leads the listener, as though didactically, from a sonority dominated by a quasi-Baroque form of tonality and instrumentation, through one of a quasi-Romantic cast, into a final, extensive one with jazz-like characteristics. In particular, as an adjunct to the syncopated aspect of this passage, Berg presents from bar 21 the answering phrase to his opening, decked out with muted brass and with harmonies of the major seventh, which very decidedly

### EXAMPLE 3.39

Berg, Violin Concerto, I/1, bars 11-27

The musical score for Example 3.39 is presented in three systems. The first system, labeled 'BAROQUE HARMONY & INSTRUMENTATION', covers bars 11-18. It features a Solo Vn. part with a melodic line and a piano accompaniment with complex chords. The second system, labeled 'ROMANTIC HARMONY & INSTRUMENTATION', covers bars 19-20. It includes parts for Hn. con sord. and Solo Vn. The third system, labeled 'JAZZ HARMONY & INSTRUMENTATION', covers bars 21-27. It features parts for [Hns. con sord.], Tpts./Tbns. con sord., and Sax. The score is marked with a tempo of [♩ = 56] and includes various dynamics such as *pp*, *p dolce*, and *pp dolce*.



point to the use of that sonority in jazz.<sup>120</sup> As a tantalizing but indemonstrable hint of Berg's listening habits, a jazz precedent emerges striking enough to suggest a notion of debt on his part via tonality and timbre in a recording made in September 1934 by Duke Ellington of his hit 'Solitude',<sup>121</sup> a tune that also opens with repeated major sevenths against the tonic, and which in a recording made in 1934 also uses muted brass in a subdued kind of way.<sup>122</sup> Gunther Schuller gives the following description:

Ellington's premiere version [of January 1934] is excessively sentimental, setting off Williams and Brown solos against rather trite backgrounds. But by the following September, Ellington had rearranged 'Solitude'... The second version is notable for its strange juxtaposition of the Mood Indigo sound of vibrato-less muted brass and low-register clarinet against a saxophone-quartet chorus absolutely dripping with a heavy saccharine vibrato.<sup>123</sup>

If the initial impression created by both the sound and the notated appearance of the tripletized crotchet-quaver patterns from bar 28 seems promising, therefore, then an exhaustive summary of aspects deserves consideration as evidence; nor in the least do the spontaneous possibilities of a 'response' by Berg seem lessened in this respect.<sup>124</sup>

### **EVIDENCE OF BERG'S RESPONSE TO SWING, ITEM THREE:**

As an interrelated entirety, the fragment for clarinets from I, bar 28 of Berg's Violin Concerto emerges as relevant for consideration as evidence on the following grounds:

- Syncopated adjuncts to the figurations positively detract from the idea of a connection with folk or waltz music.
- Clarinets in thirds suggests the music of swing band arrangements, as with the music of Benny Goodman, by that time in the ascendant;<sup>125</sup> the transparent orchestration suggests the comradely milieu of dance bands,<sup>126</sup> and the cello pizzicato in bars 29-31 irresistibly suggests a plucked string-bass fiddle.
- Berg leads into this passage with a passage scored and harmonized in a historically didactic manner: thus, quasi-Baroque, to quasi-Romantic, to quasi-

jazz; the use of muted brass seems particularly allusive when viewed at bar 22 as allied to major seventh harmonies.<sup>127</sup>

- As with *Der Wein*, tripletized crotchet-quaver patterns at this point represent the only examples in the work;<sup>128</sup> unlike *Der Wein*, thus perhaps fitting in relation to swing music as more thoroughly established, more generally pre-eminent, the fragment in the Violin Concerto verges on a degree of salience.

Given the indubitable growth of exposure by anyone at that time to music of a Swing Era in the ascendant, the idea does not seem odd for this tune to have provided the composer with a source of auditory mediation, if on a relatively subconscious level.

The question of Berg's inevitable exposure to swing-related music at this time stands as identical with the one raised by issues to do with the *Hauptrhythmus* of this work, presented as Evidence, Item One.<sup>129</sup> This fact does not seem at this point to connect two sets of data of markedly differing character, at opposite ends of the work; at the same time, the markedly greater salience of the swing form of enunciation in public life by that time will at least unconsciously have tended to draw the attention of sensitive people to the way in which an American originated form of musical vernacular had changed the metrical grain of life, and looked set to continue until the antiquated courtliness of waltz time or rustic crudities of folk music had vanished.<sup>130</sup>

**VERDICT ON EVIDENCE, ITEM THREE:**

As a result, when considered in sound and in score, the fragment for clarinets from I, bar 28 in the Violin Concerto conduces to a strong sense of possibility that the composer wrote that musical effect as a response to swing, if perhaps unconsciously.

### **3.2.4 Tripletized crotchet-quaver patterns as subject by Berg to polyrhythmic assimilation**

If the undeniably interesting results of the above investigation emerge nevertheless as highly localized, to a significant extent privy only to an examiner of the musical scores, or most strikingly represented for the listener by forms dependent on a link with swing by means of a dotted rhythmic cipher, then the prospect of revealing this composer's music as the occasion for more than a footnote on the subject of 2:1 lilting in jazz would appear very negative, except for curiosity about the way in which Berg handles the profusion of tripletized crotchet-quaver patterns in his second opera, *Lulu*,<sup>131</sup> in view of the fact that none of those patterns obtrude within an uncluttered rhythmic space, and mostly inhabit textures transparent enough to investigate aurally, curiosity very much persists over the question of how Berg manages to assimilate the effect of such stipulations, so that the listener will perhaps hear but not notice any discrepancy. Might not the technique of so-to-speak 'camouflaging' such long-short effects depend likewise on a long-short element deserving of comment? Might not the very process of assimilation in consequence of this possibility prove swing-relatable?

Of course, as shown in Example 3.36, the 2:1 'gaiety' effects obtruding blatantly upon Berg's treatment of Wedekind's 'Lautenlied' in Act Three serve as a reminder of the perils of non-assimilation more widely. In which case, Berg unsurprisingly enmeshes practically all of the tripletized crotchet-quaver patterns in *Lulu* within the central portion of his textures. At the same time, [Example 3.40](#) serves to highlight the extent to which the task of assimilation requires more than mere 'enmeshing': in the passage shown, Berg runs his 2:1 patterns against the grain of coextensive 1:1 patterns, as represented by a parallel flow of quavers, a highly incongruous sonority that does not

**EXAMPLE 3.40**Berg, *Lulu*, Act One, Scene 2, bars (967)-969

[ Grave ♩ = 38 ]

The musical score for Example 3.40 is a page from a score for Berg's *Lulu*, Act One, Scene 2, bars 967-969. It is marked 'Grave' with a tempo of ♩ = 38. The score includes parts for Flute (Fls.), Oboe (+Obs.), Violins (Vcls.), Violas (Vlas.), Trombones (Tbns.), and Clarinets (Cls.). The music is characterized by complex polyrhythmic patterns, including triplets and duplets. A specific section of the score, from bar 967 to 969, is enclosed in a black box. An arrow points from this boxed section to the right. A note '(editorial discrepancy?)' is placed above the boxed section, pointing to a specific note in the Clarinet part.

occur otherwise in this work apart from during repetitions of the same passage. The solution to the problem of 2:1 assimilation for Berg in fact lies in his close association of patterns such as these either within or very close to passages primarily marked by a use of legato coextensive polyrhythm: of sets of triplets running coextensively against sets of duplets or quadruplets, mainly played legato; naturally, his use also of legato sequential polyrhythm will contribute to the same kind of effect. Linked to patterns such as these, tripletized crotchet-quaver patterns will never strike the listener clearly.

Interest continues to grow from the fact that this form of assimilation occurs also in *Der Wein* – as evident in Example 3.34 – and the Violin Concerto. In *Der Wein*, the link appears as strong as to highlight the limitation of the occurrence of polyrhythm entirely to the point at which the putative quotation of ‘It had to be you’ occurs. This fact even applies to the reprise of the climactic material of this passage at bars 196-7, at which point no putative quote occurs, and likewise no polyrhythm. This level of association suggests that Berg may even have felt drawn to generate a polyrhythmic morass so as to cover up the act of using a quote. As a result, the following additional point of collateral *vis à vis* Evidence, Item Two emerges for consideration as follows:

- Berg's immersion of the figure resembling 'It had to be you' by the only example of polyrhythm in the work, coupled with the absence of the latter from the reprise of the climax somewhat contrary to expectations, suggests the possibility of a degree of motivation and design.

The question of whether this point makes a difference to the verdict to the extent of necessitating reformulation of specific terms thereof need not yet press for an answer.

The idea of Berg using legato polyrhythm only as a cover-up in *Lulu* and the Violin Concerto nevertheless emerges as decidedly implausible. In these works, the listener witnesses a sudden increase in the use of this technique compared to *Der Wein*, and to the two preceding works, in a way that defies that kind of reduction; furthermore, the increase continues from *Lulu* into the Violin Concerto as a proportion of the music composed,<sup>132</sup> despite an overwhelming reduction in the number of tripletized crotchet-quaver patterns in the latter work. To the extent that use of a swing-style quotation in *Der Wein* may have precipitated Berg's subsequent growth of interest in polyrhythm, he certainly seems in *Lulu* and the Violin Concerto to have established twos or fours against threes as an autonomous rhythmic aspect. This impression does not diminish the possible significance of legato polyrhythm as swing-relatable in these works, however, for, in music mainly written in the years 1930-35, a continuing increase of that sonority runs parallel to the increase in 2:1 salience in jazz over the same period. Accordingly, if perhaps the final swing-relatable possibility in Berg's music worth investigation, the question about his use of polyrhythm at least appears very enticing.

**EXTRA POINT. AFFECTING EVIDENCE. ITEM TWO [SEE PAGES 118-120 ABOVE]**

- Berg's immersion of the figure in *Der Wein* resembling 'It had to be you' by the only example of polyrhythm in the work, coupled with the absence of the latter from the reprise of the climax somewhat contrary to expectations, suggests the possibility of a degree of motivation and design.

The question of whether this point makes a difference to the verdict to the extent of necessitating reformulation of specific terms thereof need not yet press for an answer.

The idea of Berg using legato polyrhythm only as a cover-up in *Lulu* and the Violin Concerto nevertheless emerges as implausible. In these works, the listener witnesses a sudden increase in his use of this form of texture compared to *Der Wein*, and to the two preceding works, in a way that defies that kind of reduction; furthermore, the increase continues from *Lulu* into the Violin Concerto as a proportion of the music composed,<sup>132</sup> despite an overwhelming reduction in the number of tripletized crotchet-quaver patterns in the latter work. To the extent that use of a swing-style quotation in *Der Wein* may have precipitated Berg's subsequent growth of interest in polyrhythm, he certainly seems in *Lulu* and the Violin Concerto to have established twos or fours against threes as an autonomous rhythmic aspect. This impression does not diminish the possible notion of legato forms of polyrhythm as swing-relatable in these works, however, for, in music mainly composed by Berg in 1930-35, a continuing increase in his use of such complexities matches the increase in 2:1 salience in jazz over the same period. Accordingly, if seemingly the last swing-relatable possibility in Berg's music worth investigation, his use of legato polyrhythm emerges as a very enticing question.

### 3.3 Endnotes for Chapter Three

- (1) See pages.51-2 above.
- (2) J. Bradford Robinson, 'Swing', *The New Grove dictionary of jazz*, ed. Barry Kernfeld, Vol. 2, p.508.
- (3) Schuller, *The Swing Era: the development of jazz, 1930-1945* (New York, 1989), p.224; this situation persists through a book of some six hundred pages.
- (4) John Storm Roberts, *Black music of two worlds*, (London, 1972, 1973), pp.206-207.
- (5) Louis Armstrong, *Swing that music* (New York, 1936), cited in *Keeping time: readings in jazz history*, ed. Robert Walser, pp.73-76.
- (6) Edward Kennedy 'Duke' Ellington, 'Music is *Tops* to you and me...and swing is part of it', *Tops* (1938), pp.14-18; cited in *Keeping time*, ed. Walser, pp.106-110.
- (7) William Morrison Patterson (1917), cited in James Lincoln Collier, *Jazz: the American theme song* (New York, 1993), p.73.
- (8) With regard to the sophistication and complexity of music regarded perhaps by some as 'savage' or 'primitive', see Ted Gioia, *The history of jazz* (New York, 1997), pp.9-10.
- (9) Desmond Shawe-Taylor (1949), cited in Douglas Jarman, *Alban Berg: Lulu* (Cambridge, 1991), p.45.
- (10) Mosco Carner, *Alban Berg: the man and his work* (London, 1979, revd. 1983), p.xviii.
- (11) Vera Stravinsky & Robert Craft, *Stravinsky in pictures and documents*, London (1979), p. 653n.
- (12) Adorno (1968), trans. *Alban Berg: master of the smallest link* (Cambridge, 1991), p.2.
- (13) Barry Kernfeld, *What to listen for in jazz* (New Haven, 1995), p.13.
- (14) *Ibid*, p.14.
- (15) As demonstrate on CD Living Era AJA 5023, *Finest vintage jazz: 1917-1941* (London, 1993), Track 1.
- (16) See page 75-6 above.
- (17) See page 52 above.

- (18) Incredibly, Steve Larson omits to deal with this very aspect in a discussion of the analogous aspects of ‘a playground swing’; see his ‘Swing and motive in three performances of Oscar Peterson’, *Journal of Music Theory*, 43.2 (1999), p.284.
- (19) See page 84 above.
- (20) See Frank Tirro, *Jazz: a history* (London, 1977), p.235.
- (21) See *Ibid*, 235-38.
- (22) See page 85 above.
- (23) See pages 75-6 above.
- (24) See Roberts, *Black music of two worlds*, pp.186-188.
- (25) The emigration of Berg’s eldest brother, Hermann to the U.S.A. in 1900 plus the young composer’s friendship with Frida Semmler, an American family guest in 1903 arouses musical curiosity; see Carner, *Alban Berg*, pp.7, 5.
- (26) See page 34 above.
- (27) See Jarman, *Alban Berg: Wozzeck* (Cambridge, 1989), p.22.
- (28) See Carner, *Alban Berg*, p.236.
- (29) On Shellac 78 Philips B21798, PB 547, ‘Memories of you’ (Blake, Rasaf), recorded by the Benny Goodman Trio with Rosemary Clooney vocals (USA, 1958?), side A.
- (30) See page 90 above.
- (31) See pages 84-5 above.
- (32) See pages 75-6 above.
- (33) See page 61 above.
- (34) See page 51 above.
- (35) Refer especially to ‘These foolish things’, Strachey’s hit of 1936.
- (36) See page 59 above.
- (37) See page 60 above.
- (38) Les Carew (1990), cited in Pete Faint, ‘Jack Hylton vs. Igor Stravinsky’, *The Jack Hylton Homepage*, ed. Pete Faint, p.8.
- (39) See Anon (1931), cited in *ibid*. [Faint, ‘Jack Hylton vs. Igor Stravinsky’], p.1
- (40) See pages 15-16 above.
- (41) See Tirro, *Jazz*, pp.209-23.
- (42) See from bar 95.
- (43) See page 20, Ex.1.5 above.



- (44) See page 13 above.
- (45) See endnote II (117).
- (46) Tellingly, the bibliography provided by David Fuller for his entry in NG1, Vol. 13 on *notes inégales* as the original ultimate art of long-short lilted extends continuously from the sixteenth century up to 1810, then ceases abruptly, thus suggesting a catastrophic link with the French Revolution; see *ibid*, p.427.
- (47) The first song dates from 1892; no date obtainable for the second, but clearly from the same general period.
- (48) See Derrick Puffett, 'Berg, Mahler and the Three Orchestral Pieces Op.6', *The Cambridge companion to Berg*, ed. Anthony Pople, p.143.
- (49) See Exs.2.3, 3.17 above.
- (50) See Robert Witmer, 'Notation', in NGDJ, Vol. 2, p.259.
- (51) Fuller avers that swing in jazz arose from the old practice of *notes inégales*, as passed initially into the rhythms of *opéra comique*, a French colonial remnant, and makes a strong case for the multifariously equivalence of each one; see his *notes inégales*, p.425.
- (52) Proof of this impossibility even after an optimized period for assimilation surely lies in the fitful role of this rhythmic form as essayed by Aaron Copland in the otherwise rag-related pages of his Clarinet Concerto of 1948; see I, bars 319-22, 351-5, 374-8.
- (53) In Stravinsky's music, outbursts of staccato 2:1 occur in *Mavra*, *Oedipus Rex* and the Symphony of Psalms that, but for the issue raised at this point, seem odd in appearing to posit an idea that remains undeveloped.
- (54) The second variation in the finale to Beethoven's Sonata, Op.111 stands as an astonishing, incongruous exception, effectively very much anticipating the easy, rolling piano style of David 'Fats' Waller.
- (55) Brahms's weighty approach yet sits oddly with the liveliness of his rhythms; *vis a vis* Romantic earnestness giving rise to triviality, see Carl Dahlhaus, 1974, trans *Between Romanticism and Modernism: four studies in the music of the late nineteenth century* (Berkeley, Los Angeles, 1980), pp.11-12.
- (56) Thus even with the more fractured approach to jazz style characterized in the early years, the musicians would insert their pure staccato attacks within a context buttressed for the sake of continuity and flow by syncopated, 'tie-over'

notes, non-staccato extensions of tone, half-tongued sequences of accent, and of course a ready recourse to smaller, situated kinds of slur.

- (57) Hear CD, QED 101, *Dixieland: the collection*, Aylesbury, Bucks., UK: MCPS QED, *passim*.
- (58) See pages 15-16, 99 above.
- (59) See page 99 above.
- (60) See Collier, *Jazz*, p.20.
- (61) See *ibid*, Chapter 8.
- (62) As a good contemporary indication, see the comments on the views of Louis Armstrong in Eric Blom (1933), 'A recondite subject', reprinted in *A musical postbag*, ed. Eric Blom, p.185.
- (63) See Rudi Blesh, *Shining trumpets: a history of jazz* (London, 1949), pp.202-3.
- (64) The association of jazz in the 1920s with drink and with the gangster epidemic in American society during the prohibition years obviously assisted with this negative outcome; see Collier, *Jazz*, pp.21-23.
- (65) See Lynn Haney, *Naked at the feast: the biography of Josephine Baker* (London, 1981), p.75.
- (66) As an example of how negative the opinion about black people as represented by jazz could run, even in France, see *Révue musicale*, 1920, as cited in Jacques Attali, trans. *Noise: the political economy of music* (Minnesota, 1985), p.104.
- (67) See Collier, *Jazz*, Chapter 8.
- (68) A fact underscored by the vulgarity – as 'success' – of 'Joie du sang d'étoiles', fifth movement of Messiaen's *Turangalila-symphonie*.
- (69) On LP Columbia 33CX1591, *Anton Bruckner: Symphony No 6 in A*, (London, 1966), side 1.
- (70) See Frederick Neumann, *New essays in performance practice* (Rochester NY, 1989), p.70.
- (71) Hodeir. *Jazz*, p.258-9.
- (72) See Stephen Walsh, *The music of Stravinsky* (New York, 1988), pp.180-1; also see page 65 above.
- (73) See Hodeir, *Jazz*, p.262n.
- (74) Performed exactly as notated in every instance encountered by the present writer.

- (75) Alexander L. Ringer, *Arnold Schoenberg: the composer as Jew* (Oxford, 1990), p.112.
- (76) See pages 65-69 above.
- (77) Perhaps Berg's contact with Erwin Schulhoff as an early German admirer of jazz found some reflection in this aspect of the Chamber Concerto; see p.29 above.
- (78) See Witmer, 'Notation', p.259.
- (79) See page 99 above.
- (80) See Ex.2.27.
- (81) Compare bars 1,3, 5 & 6 in Irving Berlin's hit of 1933, 'Heat Wave'; as performed and recorded by Billy Cotton and his Band, on LP, EMI GX 4125181, *The golden age of Irving Berlin*, Hayes, Mdx. UK: EMI (date?), Side A, Track 5.
- (82) See page 111 above, endnote III (81).
- (83) Berg prepares for this jazz-like presentation of material with his use of muted trumpets and other brass to deliver the similarly anticipatory examples of dotted rhythm that break out from the landler music in I/2 from bars 140 and 240.
- (84) See pages 31-2 above.
- (85) See pages 40-43, 46, and 49 above.
- (86) George Thomas Simon, *The big bands* (New York, 1967, 4<sup>th</sup> edit. 1981), p.206-207.
- (87) Schuller, *The Swing Era*, p.20-21.
- (88) The growing 'saturation' of the Austrian vernacular mind with the 2:1 lilt of swing music contends to some extent as an idea with strictures applied in the last couple of years of Berg's life with the rise of National Socialism across the border in Germany; The Nazis of course disapproved of 'jazz' in respect of syncopation and of raucous instrumentation, but did not issue edicts against that genre until 1939 and 1940; see in this connection Dietrich Kraner & Hans Schulz, *Jazz in Austria: historische Entwicklung und Diskographie des Jazz in Österreich* (Graz, Austria, 1972), p.12. In fact, the regime all along, not least in the early years of power, had difficulty in harmonizing the popular love of swing that had grown vigorously as a fashion by that time, with the ideals of

- 'national purity'; see *sub verbo* 'Nazi system', *Time* magazine, May 30<sup>th</sup> 1938, reprinted in *Time in Partnership with CNN* (online), p.2.
- (89) See Exs.2.27, 3.30.
- (90) See Section 3.2.1 above.
- (91) See pages 51, 76 above.
- (92) See Ex.3.2 above.
- (93) See page 105 above.
- (94) See page 100 above.
- (95) See page 60 above.
- (96) See Ex.3.1 above.
- (97) See page 97 above.
- (98) See Brenda Dalen, 'Freundschaft, Liebe, und Welt': the secret programme of the Chamber Concerto', *The Berg companion*, ed. Douglas Jarman, p.150.
- (99) On CD Swing Time Productions 2011, *Isham Jones plays his own compositions: 1923-1934*, (Hollis, New Hampshire, date?), track 2.
- (100) See page 97 above.
- (101) An amour enshrined by way of cryptograms in Berg's *Lyric Suite*; see Carner, *Alban Berg*, pp.62-71.
- (102) See Douglas Jarman, 'Secret programmes', *The Cambridge companion to Berg*, ed. Pople, pp.167-179.
- (103) See Dalen, 'Freundschaft, Liebe, und Welt', pp.167-169.
- (104) See page 34 above.
- (105) See pages 46, 49, 49-50 above.
- (106) Hear LP, Harlequin HQ 2014, *Jazz and hot dance in Austria, 1910-1945* (UK, 1984), on which all of the post-1917 numbers emerge as characterized by a definite swing element, as for example very notably with Leo Katzele's 1932 recording of 'Mitternacht' featured on side 1, track 4; see also endnote III(79).
- (107) See Soma Morgenstern, *Alban Berg und seine Idole: erinnerungen und Briefe* (Lüneburg, Germany, 1995), pp.115-116.
- (108) See page 14 above.
- (109) Notwithstanding availability of recordings of this tune by Jones or others for some years in Austria after 1924 as implied by footnote III (87), the slower tempo implied by the notated piano part, left hand as shown in Ex.3.31 points perhaps most of all to a scenario of shared musical encounter by Alban and

Hanna over a well-thumbed copy around the piano in a spacious living room at the Fuch's-Robettins's residence near Prague; see Carner, *Alban Berg*, p.63.

- (110) See Jarman, *Alban Berg: Lulu*, p.5.
- (111) See page 97 above.
- (112) See page 116 above.
- (113) See Appendix A.
- (114) See Douglas Jarman, *The music of Alban Berg* (London, 1979), p.223; with thanks to the author for personally highlighting this point.
- (115) See *ibid*, p.246.
- (116) See Ex.3.11, p.94, above.
- (117) See pages 105-6 above.
- (118) See Section 3.2.2 above.
- (119) See pages 113-4 above.
- (120) See page 45 above.
- (121) On LP, Spinorama Records (M-55) M-3092, *Sophisticated lady: the music of Duke Ellington*, Bandleader Series, Vol. 3, (USA, date?), Side A, Track 2.
- (122) The proximity of acoustic effect provokes a tantalizing element of curiosity as to whether through encounter with this recording Berg may have inserted the material in this manner so as to allude to 'Solitude', not least as a means of referring to his isolation in a hostile political climate and with dwindling material resources and health; see letter from Berg to Schoenberg, Nov. 1935, trans. in *The Berg-Schoenberg correspondence*, ed. Brand, Hailey & Harris, pp.467-9.
- (123) Schuller, *The Swing Era*, p.65.
- (124) See pages 121-2 above.
- (125) See pages 113-4 above.
- (126) For one out of several good examples, see I/2, bar 170.
- (127) Note the use of a major seventh chord by Isham Jones at the start of bar 1 in his 1924 hit, 'It had to be you'; see Ex.3.31.
- (128) See page 118 above.
- (129) See pages 111-114 above.
- (130) See endnote II (79).
- (131) See Appendix A.
- (132) See Appendix A.

**– CHAPTER FOUR –**  
**BERG'S SWING-RELATABLE USE**  
**OF LEGATO POLYRHYTHM**

In comparison to the ideas that have arisen so far to relate Berg's music to the fact of 2:1 lilt in jazz, the phenomenon of polyrhythmic threes against twos, or threes against fours in the last two of his works carry an unprecedented advantage, in respect of 1) forming a strongly salient part of the sound, and of 2) occurring across broad musical stretches. The listener thus has a much stronger kind of material to get hold of. In addition, Berg returned to a use of coextensive polyrhythm, not only during the rise of swing, but also after – not at all prior to – taking up a use of the saxophone as a clear sign of his growing interest in jazz.<sup>1</sup> In other words, the statistics fit. Even if Berg's use of polyrhythm should turn out on inspection as revealing no difference worth relating, therefore, the statistical correspondence of the composer's resumption of polyrhythm, as signally harnessed to the novel sonorities of the jazz age, stands every chance of emerging as a swing-relatable *objet trouvé*; contextualized by the slowing down of average pace in jazz, as rendered ever more palatable to the sedate middle classes by sophistications of arrangement and audio-mechanical reproduction.<sup>2</sup>

The enabling criterion in this context lies in the power of a cultural boundary rendered exceptionally hyper-sensitive: 'swing' as a simple rhythmic effect, latterly 'spiced-up' with racial significance,<sup>3</sup> but as a result greatly stigmatized in the domain of classical music.<sup>4</sup> If examination of legato coextensive polyrhythm should turn out as exerting only a tenuous auditory hold in swing-relatable terms, then that eventuality could still remain valid in terms of empirical evidence; at that point, the question would arise of how much closer to 2:1 lilt Berg could afford to get. In the interests of buttressing any possible degree of argument in this area, a consideration of the extent to which

Berg's resumption stands out against the standard of the times must of course come to the fore. First of all, however, irrespective of questions to do with historical context, the phenomenon of polyrythm in coextensive form deserves consideration, to see how far the complexities of the sound may at least strike the listener in an interesting kind of way, may accordingly invite suggestive forms of comparison with jazz swing.

Although twos against threes in notated form originated in the music of Beethoven, Mozart and even earlier,<sup>5</sup> the strongest boost for this procedure prior to the age of modernism came – as shown in Example 4.1 – from the music of Brahms. This last composer, above all, established coextensive polyrythm, often legato, as a customary

**EXAMPLE 4.1**

Brahms, *Intermezzo* in A, Op. 76, No. 2, bars (25)-31

[Andante con moto]

Piano

*p* *grazioso*

**EXAMPLE 4.2**

Schoenberg, *Verklärte Nacht*, Op. 4, bars 378-9

[Adagio ♩ = 60]

*p*

feature of his style, and as a force for musical influence.<sup>6</sup> Unsurprisingly, therefore, in the posthumous recovery of Brahms's reputation as a 'progressive' force after falling prey to denigration as staid and conservative,<sup>7</sup> the use of coextensive polyrhythm plays an important, proto-modernist part.<sup>8</sup> Accordingly, the textures of *Verklärte Nacht*, the chamber symphonic poem by Berg's mentor, Schoenberg, reflect a strong – and famously declared<sup>9</sup> – respect for Brahms, as shown in Example 4.2, despite a tonal debt to Wagner. Brahms apparently drew inspiration in this rhythmic area from his exposure to the music of Hungarian refugees passing through Hamburg after the 1848 revolutions,<sup>10</sup> and the ambience of that composer's music will very probably defy assimilation to a jazz-related milieu; yet the sound of coextensive polyrhythm deserves an appraisal in terms of a proximity to the lilting effect of swing, for both of the phenomena create a sense of irregularity, 'shot through' with a sense of regularity.

To draw attention as a sound object of such significance, of course, the phenomenon of coextensive polyrhythm must occur in legato form,<sup>11</sup> on account of the generally anti-staccato characteristic of jazz. Certainly jazz textures feature important moments of 'punctuation',<sup>12</sup> but generally come across as preoccupied with fluency.<sup>13</sup> In which case, sequential forms of polyrhythm – of twos or fours followed by threes, or vice versa – may very well, if legato, deserve consideration as an ancillary to the whole effect. In a very subservient position given the legato context, coextensive polyrhythm in non-legato form may also draw attention as an ancillary, no doubt to a much slighter extent. The 'shot through' quality of coextensive polyrhythm nevertheless needs in the main to project a smooth, non-'spiky' ambience to stand any chance of featuring in this way; legato enunciation must predominate. In which case, therefore, the phenomenon of sequential polyrhythm in non-legato form, such as features as a strong feature in the symphonies of Bruckner,<sup>14</sup> will not arouse any particular interest.



#### 4.1 Coextensive forms of polyrhythm perceived as 'irrational'

Ultimately, a question will arise about the way in which coextensive polyrhythm may strike the listener to the music or – from the composer's point of view – the examiner of the score, as relatable to 2:1 effects. Such combinations may well draw attention as a 'rational' phenomenon. The listener, at any rate, may nevertheless feel initially unable to react in a rational way: despite a vague, underlying perception of regularity, he or she will feel more impressed by the phenomenon as a jumble of musical sounds characterized in performance as 'irrational'. In a remark that unsurprisingly highlights the strong polyrhythmic influence exerted by Brahms, Schoenberg notes the irrational sensation produced by an underlying 'mechanics', thus revealing the extent to which composers may remain well aware of the disparate notational origin of such a jumble:

When Brahms demanded that one hand of the pianist played twos or fours while the other played threes, people disliked this and said it made them seasick. But this was probably the start of the polyrhythmic structure of many contemporary scores.<sup>15</sup>

Insofar as a 'rational' view of coextensive polyrhythm may succeed in establishing a link with the 2:1 lilt of swing, therefore, an initial appraisal of the 'irrational' aspect as encountered by the listener seems advisable. An appraisal of the 'irrational' aspect, while providing a bridge to a 'rational' view, will additionally enhance the likelihood of linking Berg's music with the more general idea of 'swing', as an approach marked by extremely heterogeneous values.<sup>16</sup> This requirement especially pertains given the extent to which such an appraisal may throw light on the original appreciation of jazz, as a style with a 2:1 lilt, but generally too rapid to foster a 'rationalization' of that fact.

In overlapping with 'licentiousness' as a mark of jazz-similitude,<sup>17</sup> the complexity and 'irrationality' of polyrhythm particularly converges on swing by providing an acoustic

suggestion of the variety of ratios by which the '2:1' idea may register: for, to enlarge on Adorno's view of jazz as 'licentious',<sup>18</sup> swing covers a temporally conditioned gamut of '2:1' representations – as dotted rhythms cover a gamut of '3:1'<sup>19</sup> – that, in nullifying any sense of intricate calibration, permits a variety of enunciated nuances;<sup>20</sup> thus to the extent that classical dotted rhythms approach 2:1 as the tempo rises, so 'As the tempo [in jazz] becomes faster, [the] ternary division of the beat tends more and more to become binary'.<sup>21</sup> Since more equal forms of '2:1' occur both in slower forms of jazz and rubato kinds of classical music, the fundamental jazz-classical divide – the principle of 'licentiousness' to which tripletized crotchet-quaver patterns may find an assimilative, mitigating link – emerges as the idea of '2:1' enunciated at rapid tempi.

The tendency of rapid 2:1 to contract towards, yet avoid 1:1, even in performances of classical compound time,<sup>22</sup> may thus explain the distaste for jazz as caused not only by a view since 1800 of 2:1 *per se* as 'frivolous', but also by a retained flexibility. Under the pseudonym Anne Shaw Faulkner, in 'Does jazz put the sin in syncopation', Mrs. Marx E. Oberndorfer, a member of the highest cultural echelon in America in the 1920s actually extolled ragtime, so as to show the licentiousness of jazz unfavourably:

Whether ragtime will be the cornerstone of the American School of Music may be a subject for discussion; but the fact remains that many of the greatest compositions by past and present American composers have been influenced by ragtime. Like all other phases of syncopation, ragtime quickens the pulse, it excites, it stimulates; but it does not destroy... What of jazz? It is hard to define jazz, because it is neither a definite form nor a type of rhythm; it is rather a method employed by the interpreter in playing the dance or song. Familiar hymn tunes can be jazzed until their original melodies are hardly recognizable.<sup>23</sup>

Lack of musicological skill in fact allowed this author percipience of licentiousness as reliant on 2:1 and tempo-related flexibility, both in tandem. Her view of ragtime accordingly does not conflict at all with an endorsement of the music of J.P. Sousa:

Dancing to Mozart minuets, Strauss waltzes, and Sousa two-steps certainly never led to the corset check room, which now holds sway in hotels, clubs, and dance halls. Never would one of the biggest fraternities of a great college then have thought it necessary to print on the cards of invitation to the 'Junior Prom' that "a corset check room will be provided". Nor would the girl who wore corsets in those days have been dubbed "old ironsides" and left a disconsolate wallflower in a corner of the ballroom. Now boys and girls of good families brazenly frequent the lowest dives in order to learn new dance steps. Now many jazz dances have words accompanying them which would then never have been allowed to go through the mail. Such music has become an influence for evil.<sup>24</sup>

Reference to Sousa instantly brings to mind the ebullient, 6/8 two-steps for military band by this composer, such as *Liberty Bell* or – as noted earlier<sup>25</sup> – *The Washington Post*. Faulkner's accord with Adorno over the licentiousness of jazz, but disagreement in presumably seeing ragtime and compound time *per se* as positive, shows a grasp of her subject that his sophisticated stance vitiates: as long as 2:1 remains slow enough for precisely articulated maintenance, the vulgar 6/8 of 'Valencia' should not offend.<sup>26</sup>

Very aptly, Gunther Schuller confirms the importance of this distinction by reference to a series of early novelty numbers, recorded by Benny Goodman and his Orchestra:

Even more striking examples of the crass separation between jazz and non-jazz [recorded by Benny Goodman in the late 20s and early 30s] occur in 'Ninety-nine out of a hundred' and 'Let's drink a drink', both 1931 Whoopee Makers titles. These are actually march numbers with the only jazz relegated to four bars (*sic*) [*sic*] of Goodman on each side. It is curious to hear the 6/8 *e7ee7e* march patterns arbitrarily break out into [rapid] two-beat jazz for a few seconds, and then fall right back into the 6/8 meter.<sup>27</sup>

The hypothesis of 'licentious' and 'lubricious',<sup>28</sup> as ideas provoked by Dixieland heard as a rapid 1:1 corrupted from within, thus finds confirmation; Faulkner's clear acceptance of 2:1 in the music of, say, Sousa, which influenced jazz in the early days,<sup>29</sup> especially shows that jazz cannot swing, and arouse, unless players enunciate this proportion in a flexible and incipiently orgiastic way. The two aspects remain intertwined too for jazz aficionados,<sup>30</sup> and show that 'swing' does not fully inhere

with 6/8 in European folk rhythms but requires facilitation. Without facilitation and the aid of extrinsic aspects, the music remains frozen in a folk-like rigidity, by which:

Musicians, both accompanists and soloist, have a perfectly correct idea of tempo and phrase structure and just where the notes should go, but cannot get across the swing because their bodies betray them.<sup>31</sup>

As a result, Barry Kernfeld defines 'swing' a great deal more fully in the *New Grove Dictionary of Jazz*, than in his introductory *What to Listen for in Jazz*. He makes plain that jazz musicians flex their binary divisions with a high degree of possible variety:

In most ragtime, Latin jazz, and jazz-rock pieces, and in fusions of jazz with soul music, funk and folk music the beat is subdivided into two equal parts, usually played strictly. But in much early jazz, music of the swing era, bop, and modal jazz the beat is divided unequally in a lilting fashion that implies three, rather than two subunits, though the subdivision is executed with such flexibility and variety as to give only an impression (and not an exact statement) of these values. The way in which the beat is subdivided in swing rhythms is exceedingly complex and may change constantly...<sup>32</sup>

Despite the fact, not apparent in this description, that an enormous amount of swing material conforms precisely to a 2:1 effect, therefore, the importance of such nuance in achieving a balance in the combination of what Hodeir refers to as 'relaxation' and 'vital drive',<sup>33</sup> and in creating spontaneity, means that, as Mrs Oberndorfer well appreciated, swing puts the sin in syncopation, but sinuosity the original sin in swing.

In this context, as the closest permissible point of aural proximity in a classical, anti-swing milieu, therefore, legato coextensive polyrhythm may very arguably 'stand for' the irrationally-perceived, near-1:1 of rapid jazz, at least on a subconscious level; at this point, a link with the more salient 'leniency' of moderate-to-slow swing lies at one remove. As anticipated, legato coextensive polyrhythm may also 'stand for' the heightened irrationality of free 'swing' enunciation,<sup>34</sup> perhaps even more so, indeed, than the congested kinds of classical ensemble textures previously mentioned.<sup>35</sup> This

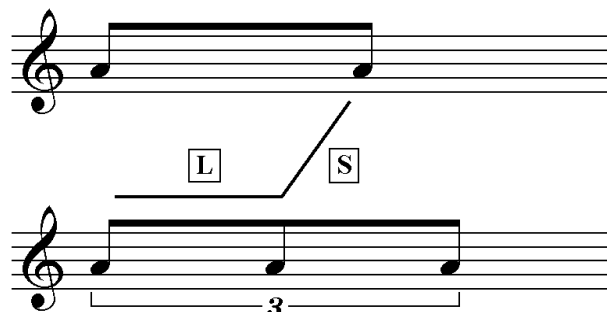
latter position would result from the dimly-perceived sense of regularity that binds the rhythmic sets together.<sup>36</sup> This last point serves as a reminder of the extent to which the 'irrational' on one level may straightforwardly yield to 'rational' insights on another; after all, an engendering of a sense of rational incapacity in the appraisal of a passage by a casual listener does not necessarily indicate the same state of affairs with a more attentive listener, with an examiner of the musical score, or indeed with the composer.

#### 4.2 Coextensive polyrhythm perceived as 'rational'

If listened to attentively, coextensive threes against twos or fours of course evince a markedly rational aspect of detail, by audibly releasing a quotient of '2:1' lilt from the jumble of contradictory effects. Especially when legato, polyrhythm will generate a non-parodistic feeling of swing-relatable 'seepage', a term introduced at this point to designate, as with liquid dripping through a porous membrane, a release of tiny lilt fragments. The subliminal, 'irrational' appreciation of this effect by a casual listener consequently emerges as rationally based, and open to analysis by reference to the notated score. In notation, as shown in Example 4.3, a zigzagging interaction of twos

#### EXAMPLE 4.3

Coextensive polyrhythm in the case of two against three, giving rise to an effect of lilting metrical 'seepage':



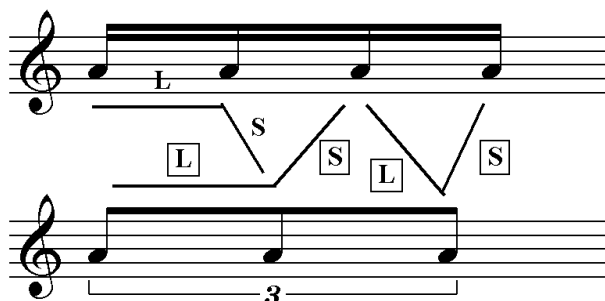
[‘L’ and ‘S’ indications show the long-short effect of lilting swing-like pairs, with letters in boxes constituting a ratio of exactly 2:1; imprecision in ensemble coordination will nevertheless tend in any case to produce a ‘2:1’-type effect.]

against threes includes a vital 2:1 lilt against the middle triplet that in performance at moderate tempi will, thus or from real or imagined ill-coordination, create a similarity to a jazz perceived since 1917 as a 'loosened-up' kind of ragtime.<sup>37</sup> Accordingly, the possibility of a more direct link with the salient aspect of swing comes into view, by attentive kinds of listener at least, and, in connection with this idea, by the composer; the composer may additionally acquire an enhanced sense of connectedness with this association, in view of the extent of his involvement with the mathematics of notation.

At the same time, the third triplet counteracts the lilt effect, creating a 'hobbled swing' sensation that – not least by the usually subliminal form of engagement – will repel any disdainful attention. The 'kick-back' effect of the retraction in particular assures a facilitation of this overall ambient link (1) by abolishing the possibility of the music falling into disdain, thus ensuring the permissibility of the aural proximity, (2) by helping to explain and confirm the validity of perceiving the polyrhythmic effect as part of a legato jumble, aurally similar to rapid forms of swing lilt, (3) by

#### EXAMPLE 4.4

Coextensive polyrhythm in the case of four against three, giving rise to an effect of lilting metrical 'seepage':



[‘L’ and ‘S’ indications show the long-short effect of lilting swing-like pairs, with letters in boxes constituting a ratio of exactly 2:1; imprecision in ensemble coordination will nevertheless tend in any case to produce a ‘2:1’-type effect.]

reinforcing the idea of legato polyrhythm as – like ‘swing’ – both loose and internally resistant. With threes against fours, as shown in Example 4.4, an effect of precisely-perceived enunciations may lessen through a dislocation of the participants’ sense of temporal calibration: the addition of two minuscule interactions to the ‘hobbled’ effect via a broader two implied by the four suffices to create a rapid long-short scattering that, especially when legato, simply sounds ‘swing-like’;<sup>38</sup> threes against fours and threes against twos nonetheless conjoin to produce an effect ultimately open to reason.

With a crucial degree of jazz-similitude resting on the capacity of a legato swing-like ‘seepage’ to maximize a licentious sense of fluency or liting, the idea of polyrhythm serving the listener in this way without creating damage as parody – hovering on the boundary at which an overt approach would raise eyebrows<sup>39</sup> – arises on recognizing that although jazz must remain debarred for serious musicians when perceived as a giusto style with loose elements, the genre stands every chance of mediation when perceived as a rubato style with resistant elements. From this perspective, Berg’s style fits perfectly as jazz-like; and, from the point of view opened up by Schoenberg’s remark, as cited above,<sup>40</sup> the swing-like quality needed to make Berg’s music ‘jazz-like’ would attach not only to the sound of the music but also to the appearance of the polyrhythmic notation. This situation accords with Stravinsky’s view of Berg’s music as already encountered,<sup>41</sup> and his reference to ‘the barrier of style (Berg’s radically alien emotional climate)’.<sup>42</sup> In turn, an incompatibility with such a metrically stilted composer as Stravinsky enhances expectations that the statistical congruence of Berg’s use of polyrhythm with the rise of swing will stand viewable as a response on his part;<sup>43</sup> Very naturally, therefore, the more that Berg emerges as different from composers across the board, the more powerfully his position will hold in this respect.

### 4.3 The exceptional nature of Berg's position

The fact that Berg only resumed an early but discarded liking for legato coextensive polyrythm after he had taken up use of saxophone as a sign of interest in jazz,<sup>44</sup> finds considerable support as evidence of a response to swing 2:1 lilting in the fact that no other composer of worth adhered to that rhythmic form at all, or to any comparable degree during the 1920s and 30s.<sup>45</sup> Prior to 1920, many important composers apart from Berg embraced a legato polyrythmic profusion that Brahms, above all, had made conceivable.<sup>46</sup> The sumptuous tangle of sounds emanating in the long pre-War period as a post-Romantic staple from works such as Debussy's *L'après-midi d'un faune*, Schoenberg's *Gurrelieder* or Scriabin's *Poème de l'extase* had very obviously found regard as a textural enhancement to the perfumed worlds of 'impressionism' and '*Jugendstil*'.<sup>47</sup> Such stylistic strands of course found reflection in earlier works by Berg, such as his Five Orchestral Songs, Op.4, Three Orchestral Pieces, Op.6, and first opera *Wozzeck*.<sup>48</sup> After 1920, however, with the rise of neo-classicism, and in Germany, *Neue Sachlichkeit* – the 'New Objectivity' – that favoured a more emphatic approach to meter,<sup>49</sup> use of polyrythm of any kind went into decline. Thereafter, the urge for complexity found an expression in cross-accentual displacements, or in a use of dotted rhythms to associate with 2:1 lilting in jazz by a form of swing-like cipher.<sup>50</sup>

A survey of music written by composers of first or second rank during the inter-War years divides into two categories: firstly, as by composers such as Schoenberg, Berg and Webern, who initially showed a marked inclination towards legato coextensive polyrythm, and, secondly, as by composers such as Stravinsky or Bartók, who never showed an inclination in the first place, or Hindemith who showed no great interest in the legato form.<sup>51</sup> The fact that, apart from Berg, no composer of importance used



legato coextensive polyrhythm at all, or to any significant degree after 1920, marks the ascendance of the second group during this period over the first group, under the template – whether directly acknowledged or not<sup>52</sup> – of ‘neo-classicism’. A powerful encapsulation of this picture lies in Anthony Beaumont’s account of the progress of Zemlinsky, an associate of the Schoenberg circle who, in his Second String Quartet of 1913-15, exhibited an extreme yen for polyrhythmic complexity derived from the cult of *Jugendstil*,<sup>53</sup> but, in his Third Quartet of 1925, yielded to a neo-classical approach:<sup>54</sup>

[Zemlinsky’s Third String Quartet,] Op. 19 [of 1925] represents a complete break with the Secessionism of *fin-de-siècle* Vienna and withdrawal from that *Tristan*-inspired world of ecstasy [,] which, since the death of Brahms, had been [his] natural artistic habitat. Apart from the personal calamity of [his sister,] Mathilde[ Schoenberg]’s death and the collapse of a friendship [with her husband] that had endured for thirty years, the change was catalyzed principally by the spirit of the [International Society for Contemporary Music], which opened his mind to new styles and ideas, many of them far removed from Schoenberg and his school...As in Nielsen’s *Sinfonia semplice*, of which the work is an almost exact contemporary, [neo-classical] techniques are adopted less for the sake of moving with the times than as an ironic form of protest. The variable metre of a Stravinsky, the *Neue Sachlichkeit* of a Hindemith: these and much else are paraded as if through a hall of mirrors, distorted, blurred and gently derided.<sup>55</sup>

Thereafter, and of course despite the sense of ironic detachment indicated in the above passage, Zemlinsky remained severed from an earlier state of luxuriance that the composer had once enjoyed; hence the classically transmogrified *Chinoiserie* coupled with a use of jazz instrumentation in *Der Kreiderkreis*, last of his completed operas.<sup>56</sup>

As a close friend and associate of Zemlinsky from the *Jugendstil* period,<sup>57</sup> and as also given to polyrhythm,<sup>58</sup> Schoenberg changed to a Stravinsky-like simplicity, but much earlier than 1925, showing that such a transformation had more profound levels of cause even than – as suggested by Beaumont<sup>59</sup> – war and financial restriction;<sup>60</sup> thus, whereas in 1910, during Schoenberg’s period of ‘free atonality’, a use of legato coextensive polyrhythm found a continuation and indeed a flowering in the second of

his Five Orchestral Pieces, Op. 18,<sup>61</sup> the composer's *Pierrot lunaire* of 1912 marked a renunciation of polyrhythmic procedures,<sup>62</sup> broken only by the slow movement of his Violin Concerto, Op. 36, written in 1936.<sup>63</sup> Insofar as *Pierrot* initiated a trend towards simplification on Schoenberg's part, epitomized by the jagged repetitive emphases in the Wind Quintet, or the staccato quaver ostinati that open the Third String Quartet, facets that may have formed part of a rationale linked to the finalization of the twelve-tone method in 1923,<sup>64</sup> a subsuming of the rhythmic style of this composer, and the style of Webern,<sup>65</sup> permanently by the neo-classical approach of Stravinsky and others stands, indeed out of pre-emptive inclination, as vital in highlighting Berg as one who fell in somewhat with the trend,<sup>66</sup> but uniquely returned to a complex approach later.

Needless to say, Berg's combination of legato coextensive polyrythm and saxophone emerges as even more distinctive. Not only had polyrythm fallen into desuetude after 1920, but the continuing rise in fortunes of the saxophone, as still quite new on the scene, mainly occurred through jazz.<sup>67</sup> Accordingly, the use of polyrythm vanished in parallel to the realization of Adolphe Sax's dream in this particular manner.<sup>68</sup> Generally, and above all not surprisingly, given the jazz link, the continuing growth of classical interest in that instrument never penetrated to the core.<sup>69</sup> As a composer who had fostered legato polyrythm, and would apparently have used the sound of saxophone to advantage,<sup>70</sup> Debussy died in 1918, leaving an eagerly commissioned work for that instrument disdainfully incomplete.<sup>71</sup> Berg, on the other hand, only took up the polyrhythmic cause again after starting to use the saxophone as a jazz-related instrument. Schoenberg's satirical opera, *Von Heute auf Morgen*, the only major work of interest apart from Berg's *Lulu* to use the saxophone sonority,<sup>72</sup> stands by comparison as entirely undemonstrative in the use of that instrument, and as devoid of

impulses derived from *Jugendstil*.<sup>73</sup> In which case, Berg's *Lulu* especially starts to emerge as a gigantic saxophone obbligato, enlivened by generous quantities of swing-like nuance; swing-relatable on account of a strongly revived interest in polyrhythmic complexity, as added too to a prominent employment of saxophone as in *Der Wein*.<sup>74</sup>

#### 4.4 Berg's swing-relatable use of polyrhythm in *Lulu*

Berg's concert aria, *Der Wein* of course marks the composer's first entry into overt jazz-consciousness,<sup>75</sup> via an introduction that, by a 'tonality' of D minor, a prevailing recurrent rhythm of slowly oscillating quavers and instrumentation with saxophone as an obbligato, provides a clear allusion to Milhaud's *Création du monde*, as shown in Example 4.5. The polyrhythmic activity in *Der Wein*, as a fact already encountered,<sup>76</sup>

#### EXAMPLE 4.5

##### (a) Berg, *Der Wein* [1929], bars 1-4

Sehr langsam ♩ = 36 - 44

Alto saxophone

Bns.  
Vns./Vlas.  
[Bns.]  
Bel./Dbn./Hp.  
Vcl.

##### (b) Milhaud, *La création du monde* [1923], bars 7-11

[ Modéré ♩ = 54 ]

Saxophone (appearing in score among the string section in place of the violas)

Tpts. *mf*  
[*mf*] Strs.

nevertheless represents a minimum for Berg, as though he felt reluctant to use that old resource for new expressive ends. With *Lulu*, in overwhelming contrast, a number of polyrhythmic passages permeate the opera, on inspection revealed as also peppered with tripletized crotchet-quaver patterns.<sup>77</sup> Insofar as legato coextensive polyrythm tends to induce a feeling of luxuriance, so a resource capitalized upon by the forces of impressionism and *Jugendstil* as noted,<sup>78</sup> that opera in any case stands irresistibly open to interpretation as a sign of Berg's wish to use such effects, to reflect the decadence and social disintegration depicted in *Erdgeist* and *Der Bûchse des Pandoras*, plays by Frank Wedekind that form the basis of the libretto.<sup>79</sup> The decadent sound of the saxophone thus finds greater assimilation in this work than in *Der Wein*.

As a point that starts to emerge very clearly in this context, however, the phenomenon of legato coextensive polyrythm must occur in a sufficiently leisurely way to allow an appraisal by the listener as swing-relatable. Permeation by frantically convoluted emphases, as happens in Act One, Scene 1 at bars 154-5 during the painter's attack of lascivious frenzy, although running against the spirit of *Neue Sachlichkeit* and providing a sympathetic, legato background, does not encourage such a form of association directly. To the extent that the fabric of *Lulu* comprises a wide variety of levels of complexity, from long, naïve-sounding stretches of simple binary pulses, through polyrythm, to dense passages of hurly-burly or sparse passages of recitative secco, however, the task might appear too great to distinguish pertinently-related effects from simply-constructed passages, capable through other sources of auditory dislocation of striking the listener as associable: thus, passages such as the painter's distressed altercation with Dr. Schön in Act One, Scene 2,<sup>80</sup> the gloomy meditation by the latter character on 'Das, mein Lebensabend' in Act Two, Scene 1,<sup>81</sup> or the hurly-

burly depicting the vicious social whirl of the Parisian gaming salon at the start of Act Three all sound densely, perhaps from one principal of parsing or another allusively, packed with activity, without drawing on note-values other than derived in a simple binary way. The notion of *Lulu* as a swing-relatable sound object may seem obscure.

Berg would nevertheless have known which passages contained legato coextensive polyrythm and which did not; his knowledge of the latter would also connect with an awareness of the effect of the music, and link the composer with the perceptions of an aficionado, one capable of discerning subtle distinctions in degree of textural fluidity. In turn, Berg's knowledge of the binary foundation of other passages would separate him from the perspective of the casual listener. The composer in fact gives sign of an awareness of this distinction by earmarking polyrythm as especially associated with Alwa, a character not only central to the action, but also with an autobiographical function.<sup>82</sup> The thematic material linked to Alwa always contains legato coextensive polyrythm, except, very significantly, after the collapse in fortunes in Act Three; this fact marks an addition to Douglas Jarman's summary of Berg's use of metrical means as a source of characterization in *Lulu*.<sup>83</sup> The material linked to the other characters lacks polyrythm either completely, or to any comparable extent. In addition, the composer colours his Alwa sections – again except in Act Three – in a decidedly jazz-like way. Apart from in the polyrythmic parts of the 'Lied der Lulu' in Act Two, Scene 1, and in Countess Geschwitz's lament at the end of the opera, a joining of anti-*Neue Sachlichkeit* rhythm with jazz-like sonority only occurs for this central purpose.

Accordingly, the relationship precipitated by Alwa with Lulu in Act Two, Scene 1 ensures that a legato polyrythmic impulse, coloured in a jazz-like way, dominates the

music until cancelled by the social hurly-burly of Act Three, a point anticipated by T.W. Adorno.<sup>84</sup> In 1934, on account of the sensuous, sax-imbued appeal of this material, and for dramatic – and no doubt autobiographical – reasons, Berg reinforced the importance of polyrhythm in *Lulu*, by gathering almost all of the Alwa-related music in Act Two to form the first and principal movement of his Symphonic Pieces from *Lulu*, or *Lulu-Suite* as henceforth designated.<sup>85</sup> The *Lulu-Suite* also stands as a compendium of other vital passages of polyrhythm in the opera: including from the central part of the palindrome film interlude into Act Two, Scene 2,<sup>86</sup> as used for the second movement; from the ‘Lied der Lulu’,<sup>87</sup> as used for the third movement; from the variations on Wedekind’s ‘Lautenlied’,<sup>88</sup> which form the interlude to Act Three, Scene 2, as used for the fourth movement; and from the ‘love theme’ linked to Lulu’s passion for Schön in Act One,<sup>89</sup> along with Geschwitz’s lament from Act Three,<sup>90</sup> to conjure up the final scene with Jack, as used for the fifth and last movement. Berg has thus ensured that the polyrhythmic content of *Lulu* will come more to the attention of even the casual listener; and, with the first movement lasting about ten minutes of the twenty-five minutes overall, that his *Lulu-Suite* will sound especially swing-relatable.

In turn, just as Berg lodges the Alwa music from Act Two within the *Lulu-Suite* as an ‘irradiating’ first third of that derivative work, so he lodges the same music within the centre of the opera, as a distributed ‘irradiating’ third of the whole of the portion of the second act that follows bar 243, the point of textural precipitation. The informing heart of the opera, as a whole, thus lies with this kind of combination of texture and timbre.<sup>91</sup> The possibility of charting the structural relationships generated serves, in line with these crucial considerations, to allow for the detailing of the most relevant passages of polyrhythm as embedded within a clear scheme of priorities. As shown in

**TABLE 4.1**Berg's *Lulu*: main coalesced phases of polyrhythmic interest plus surrounding context

MAIN INTEREST	HIGHER AUXILIARY	LOWER AUXILIARY	OTHER PERIODS OF TEXTURAL 'CONFUSION'
<p><u>Act One,</u> <u>Scene 1</u></p> <p>-----</p> <p><u>Scene 2</u></p> <p>-----</p> <p><u>Scene 3</u> Alwa thematic 'preview'</p>	<p>[mainly TCQ:] 'love theme' interlude</p>	<p>Schön's dynamism</p> <p>The Prince</p> <p>Schön in despair</p>	<p>Prologue</p> <p>Lulu and painter</p> <p>-----</p> <p>Schön and painter</p> <p>After Painter's death</p> <p>-----</p> <p>Offstage 'jazz'</p> <p>Lulu's ultimatum to Schön</p>
<p><u>Act Two,</u> <u>Scene 1</u></p> <p>from bar 243:</p> <div style="border: 1px solid black; padding: 5px; width: fit-content;"> <p>First coalesced phase: Alwa's theme ==== 'Lied der Lulu'</p> </div> <p>-----</p> <p><u>Scene 2</u></p> <p>from bar 1069:</p> <div style="border: 1px solid black; padding: 5px; width: fit-content;"> <p>Second coalesced phase: Alwa's theme reprised; Alwa's 'Hymne'</p> </div>	<p>Geschwitz material</p>	<p>Film interlude</p>	<p>Schön's regret</p> <p>Lulu with interlopers</p> <p>Schön's death and aftermath</p> <p>-----</p> <p>Alwa, Athlete and schoolboy</p>

(continued overleaf...)

(continued...)

MAIN INTEREST	HIGHER AUXILIARY	LOWER AUXILIARY	OTHER PERIODS OF TEXTURAL 'CONFUSION'
<u>Act Three, Scene 1</u>		'Lied der Lulu' reprised	Social hurly-burly Lulu and marquis Investment fever Collapse of investment fever
----- <u>Scene 2</u>	'Lautenlied'	-----	-----
		[Alwa's theme reprised without polyrhythm] Alwa's 'Hymne' reprised	
	'Lautenlied' reprise Geschwitz lament	Jack: 'love theme'	Lulu and Negro; death of Alwa

Table 4.1, the less obvious passages of polyrhythm retain an auxiliary sense as related to the main sybaritic aspect; at the same time, those passages feel drawn back by a tension against aspects merely describable as 'complex', some of which carry an anti-sybaritic import. The Alwa music in Act Two thus serves to break the spell of a music dominated by the spirit of *Neue Sachlichkeit*, and irradiates a sense of polyrhythmic sensuality, at first intensely, if later on in Act Three in an extremely subdued fashion.

Two coalesced phases of Alwa-related music – as corresponding roughly to the two main sections that make up the first movement of the *Lulu-Suite*<sup>92</sup> – stand as prime for



detailed consideration. The first phase comprises a statement of three versions of the theme allotted to Alwa;<sup>93</sup> after a gap, the polyrhythmic element in the 'Lied der Lulu' also emerges as drawn within the same affective orbit.<sup>94</sup> In this phase, the middle version of Alwa's theme proves central in swing-relatable terms, as the focus also in terms of jazz-related timbre. The second phase starts with a partial reprise of the first,<sup>95</sup> leads to a dramatic reminiscence based on a polyrhythmic variant of Countess Geschwitz's material,<sup>96</sup> and culminates in Alwa's 'Hymne' to Lulu's charms.<sup>97</sup> Whereas Berg reprises the 'Hymne' material in Act Three, Scene 2, more-or-less intact in span and in textural characteristics,<sup>98</sup> he dislocates the function of the Alwa theme by on the one hand introducing this material in Act One, Scene 3, as a kind of sybaritic 'preview',<sup>99</sup> and on the other hand reprising that material in Act Three, Scene 2, in a 'straightened-out', binary version.<sup>100</sup> An imbalance in relationship of the two sets of reprised materials, combined with a reduced use of jazz-related timbre in Act Three, means that even the manifest persistence of legato coextensive polyrhythm in that part of the opera sounds diminished, robbed of the clearer swing-related sense and – although still as part of an auxiliary system – relegated by anti-sybaritic forces.

As shown by the data tabulated, therefore, a legato polyrhythmic impulse contending with the forces of *Neue Sachlichkeit* emerges as crucial to one of the most important lines of dramatic characterization in Berg's *Lulu*; perhaps, given the autobiographical connection, the most important line of all.<sup>101</sup> Furthermore, any scepticism arising over the significance proposed for a similarity to swing, oblique in acoustic terms and, to the amateur music reader, very oblique in terms of notation,<sup>102</sup> will start to dissolve on considering the historically contextual uniqueness of this effect, and the fact in any case that – as shown by the inconclusive tone underlying Derrick Puffett's essay on

Berg and Mahler<sup>103</sup> – no amount of data can prove musical influence scientifically:<sup>104</sup> thus, if Kevin Korsyn can view nuances in Brahms's piano music as signs of response to Chopin, a fellow Romantic,<sup>105</sup> then the job of viewing features in fact of a less obscure character in Berg's music as a form of response to swing automatically grows simpler. In which case, the acute sensitivity of the classical-swing boundary places this issue in a different league: with Brahms and Chopin, the boundary lies open; with Berg and jazz swing, a most inflammatory and prohibitive sort of division persists.<sup>106</sup>

The strength of this point, once grasped, emerges as all the more effectively buttressed by the way in which Korsyn's application of the ideas of literary critic, Harold Bloom to the field of musical influence enlarges the scope for axiomatic reasoning:<sup>107</sup> if Korsyn can utilize these theories in an area that lacks a sensitive boundary arguably needed,<sup>108</sup> then Bloom's ideas may find a particularly apt form of support in an area already axiomatically reasonable, but enhanced too by cultural friction. This prospect above all starts to grow in comparing the mode of swing-signification pertaining for legato coextensive polyrhythm with the mode for tripletized crotchet-quaver patterns, a species of swing-like 2:1 connection scattered among the swathes of polyrhythmic activity in *Lulu*, as noted.<sup>109</sup> From Bloom's perspective on the possibilities of poetic response,<sup>110</sup> the lilt in legato coextensive polyrhythm relates to the original fact of swing 2:1 in an 'attribute-to-source' way, describable linguistically as a 'metonymy'; the scattering of tripletized crotchet-quaver patterns throughout *Lulu* relates in a 'part-to-whole' way, describable as a 'synecdoche'; additionally, and very significantly, the putative quote of 'It had to be you' in *Der Wein* fits in, in a fragmented, alien way describable as 'irony'; to denote the six defensive 'ratios' employed psychologically by a successor under influence from a successor, Bloom translates the significance of these linguistic tropes, by means of a lexical shorthand drawn from Ancient Greek.<sup>111</sup>

The emergence of the putative quote from *Der Wein* particularly arouses interest in this context,<sup>112</sup> in combining with the scattering of tripletized crotchet-quaver patterns in *Lulu* to form an 'irony'-'synecdoche' pairing, in line with anticipations developed out of Bloom's theory.<sup>113</sup> The exceptional isolation of the fragment in *Der Wein* leaps out, seen in this light, as – to adapt Bloom's terms<sup>114</sup> – a 'swerve [by Berg] from [swing as the] predecessor'; in other words, as no doubt reflected in Berg's reference in a letter, quoted in Chapter One, to not preferring in his work on *Lulu* to set about getting 'Alwa killed by the Negro',<sup>115</sup> the very attractiveness of jazz for the composer would also have struck him as a threat, thus calling initially for an ironic form of response. In *Lulu*, on the other hand, a greater confidence about the fact of jazz and of swing would have allowed the composer to relax with a scattering of tripletized crotchet-quaver patterns, to instantiate what Bloom refers to rather cryptically as 'completion and antithesis'.<sup>116</sup> In other words, Berg turns sharply back, away from an abstention from swing ironically marked by the tripletized crotchet-quaver fragment in *Der Wein*, into a confident if perhaps less aware scattering of such patterns in *Lulu*.

On account of providing an opinion about Berg's varying kinds of motivation through the energy created by a principle of inter-structural necessity, this deliberation allows the scales to tip for the first time – if no doubt marginally – into viewing the scattering of tripletized crotchet-quaver patterns in *Lulu* as evidence of the composer's response to swing, as opposed to waltz- or folk-related music:<sup>117</sup> the scattering in that work fills a vacuum of swing-relatedness generated by the irony in *Der Wein*. Accordingly, that evidence – no longer only slight and not worth mentioning – may stand as an addition to the list gradually accruing, for collation in the final estimate on Berg's relationship:

**EVIDENCE OF BERG'S RESPONSE TO SWING, ITEM FOUR:**

- In relation to jazz swing as a 'predecessor', the scattering of tripletized crotchet-quaver patterns in *Lulu* stands positioned by the swathes of legato coextensive polyrythm in that work and the simulacrum of the tune, 'It had to be you' in *Der Wein* as second in an 'irony'-'synecdoche'-'metonymy' sequence, as defined and elaborated by Harold Bloom;<sup>118</sup> the very strong congruence of these elements with Bloom's theory thus points to the scattering in *Lulu* as motivated in a swing-relatable way.

**A VERDICT ON EVIDENCE, ITEM FOUR:**

The evidence above conduces to a distinct, perhaps strong sense of possibility that the scattering of tripletized crotchet-quaver patterns in Berg's *Lulu* indeed marks a response by him to the 2:1 lilt in jazz, if probably no more than semi-consciously. In turn, the simulacrum in *Der Wein* merits an additional point by way of underlining:

**EXTRA POINT RELATING TO EVIDENCE, ITEM TWO:**

- A growing impression of traits in the last three works of Berg as instantiating, in relation to the swing in jazz as a 'predecessor', a sequence of 'revisionary' relationships, as defined by Harold Bloom,<sup>119</sup> retrospectively highlights the fragment in *Der Wein*, as by that criterion a form of swing-relatable 'irony'.

This point will probably make no perceptible difference to any verdict passed on the impressive collection of points declared earlier,<sup>120</sup> and as a result can await appraisal.

Most importantly, however, the effect of swathes of legato coextensive polyrythm in *Lulu*, viewed as a shift in the very manner of influence of swing on Berg, through a

'movement of discontinuity [by Berg] with [swing as] the precursor' to borrow from Bloom again,<sup>121</sup> stands out against the pairing generated by the composer's use of tripletized crotchet-quaver patterns as a strengthening of this form of comparison, by – again – enhancing a suspicion of awareness. Insofar as evaluation seems premature at this stage as to whether Berg fulfils the 'dialectical' implications of that shift,<sup>122</sup> the key use of legato coextensive polyrhythm in *Lulu* stands also suggestively earmarked as part of a process by which the composer adapted to swing as an overwhelming fact in the life of society: with the saxophone sonority woven extensively into the fabric of a work as long as this one, and with a strong textural orientation drawn as close to the 'decadent' sound of swing as classically permissible, the composer shifts his artistic milieu, as Pierre Boulez notes,<sup>123</sup> and as Berg also seems to have indicated,<sup>124</sup> from Vienna under the Habsburgs to Berlin under the Weimar Republic. The way thus lies open by which to examine in detail the not inconsiderable traffic across this hyper-sensitive boundary: first dealing with each of the two coalesced phases of polyrhythm that lie at the heart of the opera, and that correspond to the two main halves of the first movement of the *Lulu-Suite*, then following with comments on the auxiliary elements.

#### **4.4.1 First coalesced phase, characterizing *Lulu*, Act Two, Scene 1**

Table 4.2 gives details of the first coalesced phase of swing-relatable polyrhythm in *Lulu*, which commences in Act Two, Scene 1 at bar 243. This information highlights the fact that material featured in these phases cannot suffice to attract interest without – not surprisingly – also interacting with elements of jazz-related timbre or of acerbic harmonization. In this first phase, in which actual polyrhythmic enunciations often occur in patches, the burden falls emphatically on the auxiliary aspects; the rating of

**TABLE 4.2**

Berg's *Lulu*: **first coalesced phase of swing-relatable polyrythm**, positioned in the middle of Act Two, Scene 1 [===== indicates minor discontinuity]

<u>Bar numbers</u> (plus page numbers.)	Use of legato coextensive polyrythm	Use of tripletized crotchet-quaver patterns	Use of jazz-related timbre etc.	Thematic status [see Table 4.1]	Number of pages [plus running total]	Value as swing-relatable (5 as max feasible)
<u>bs.243-6</u> (pp.393-4) =====	In patches	Woven-in	Moderate	Alwa's material	2 [2]	***
<u>bs.250-60</u> (pp.396-9) =====	In patches [sequential]	Woven-in	Low	Butler	4 [6]	***
<u>bs.278-84</u> (pp.407-10) -----	In patches	Woven-in	Moderate	Alwa's material	4 [10]	***
<u>bs.285-6</u> (p.410) =====	Continual	Woven-in	Low	(ditto)	1 [11]	****
<u>bs.298-301</u> (pp.415-6) -----	In patches	Woven-in	High	(ditto)	2 [13]	*****
<u>bs.302-6</u> (pp.416-18) =====	In patches	None	High	(ditto)	3 [16]	*****
<u>bs.319-29</u> (pp.420-22) -----	In patches	None	Low	(ditto)	3 [19]	***
<u>bs.330-2</u> (pp.423-4) =====	In patches [partly non-legato]	One, very Prominent	Moderate	(ditto)	2 [21]	****
	A	GAP	OF	36	PAGES	
<u>bs.507-15</u> (pp.460-3)	Continual	Woven-in	Moderate	'Lied der Lulu'	4 [25]	****

each segment as swing-relatable in the right-most column will depend on the balance in this respect. Accordingly, bars 319-29 in isolation sound too metrically intact, too dependant on the lugubrious sound of F# minor, and from a jazz-related perspective too modestly scored not to strike the listener as principally related to the world of Brahms.<sup>125</sup> Even passages as rich in legato coextensive polyrythm as this one cannot function as mainly swing-related without a jazz-like bias, at least by association with a strong passage in proximity, such as bars 302-6 preceding. Questions of sectional ambit and context thus count not inconsiderably, permitting bars 250-60 to function as a form of auxiliary, in spite of consisting solely of sequential polyrythmic elements.

In this connection, the table identifies sections by the page numbers used in the full musical score, not only to facilitate study, but also to highlight the pervasive effect of soupcons. In a German progressive tradition temporarily brokered by Hindemith,<sup>126</sup> in which a composer might only use jazz instrumentation in a simple rhythmic context, and polyrythm, if at all, in an anti-legato context,<sup>127</sup> the power of illicit combinations to tarnish respectability indeed finds reflection in the following remark by Stravinsky:

Do I dislike any instrument? Well, I am not very fond of the two most conspicuous instruments of the *Lulu* orchestra, the vibraphone and the alto saxophone. I do admit, however, that the vibraphone has amazing contrapuntal abilities; and the saxophone's juvenile-delinquent personality floating out over the vast decadence of *Lulu* is the very apple of that opera's fascination.<sup>128</sup>

This passage suggests that, as will pertain especially in the case of illicit soupcons, a disproportionately small amount of 'decadent' polyrythm may suffice to generate a swing-relatable effect, given a generous amount of 'delinquent' saxophone sonority, and vice versa. As a passage in Act Two, Scene 1 that, by a slightly broader criterion, would have merited inclusion in the above table, for example, the falsely demure passage of oboe gavotte, linking bars.250-60 and bars.278-84, emerges as not only

'morally suspect' through the insinuation of a coherent middle line on saxophone, but also incipiently swing-relatable through a tiny bit of polyrhythmic slippage in bar 267.

This first phase marks the point at which Berg moves to overthrow his subordination so far in *Lulu* to the spirit of *Neue Sachlichkeit*.<sup>129</sup> With bars 282-320 as central in this respect, the flanking passages serve as a 'prelude' and 'postlude' thereto, supportively complicated if less direct in terms of jazz-related timbre. The fact that Berg reprises all or much of these passages later on in the opera contributes greatly to the extent to which a fluidity merely intermittent, fleeting, thus non-coalescent in Act One grows into a major textural preoccupation in Act Two, and to some extent in Act Three. Act One does not lack a sense of commotion, occasionally complexity, yet relies on long stretches occupied with mechanical semiquavers: in Scene 1, the flirtation music,<sup>130</sup> plus reprise in the following interlude;<sup>131</sup> in Scene 2, the 'Duetto',<sup>132</sup> the music for Schigolch's visit,<sup>133</sup> the gavotte of Schön's 'Sonata', shown in [Example 4.6](#),<sup>134</sup> and the long passage for the painter's demise,<sup>135</sup> finally, in Scene 3, the off-stage 'jazz',<sup>136</sup>

#### EXAMPLE 4.6

Berg, *Lulu*, Act One, Scene 2, bars (586)-591

The musical score for Example 4.6 is a single staff in treble clef, 2/4 time signature, with a key signature of one sharp (F#). The tempo is marked as 'Gavotte (♩ = 69)'. The score begins with a dynamic marking of *p* (piano) and a slur over the first few notes. A second dynamic marking of *mp* (mezzo-piano) appears later. The notation includes various note values, slurs, and accents. Labels 'Vns. 2' and 'Vns. 1' are placed above the staff at different points.

plus the reprise of Schön's gavotte.<sup>137</sup> Apropos of rigid kinds of texture, Scene 2 particularly sounds unremitting: the elements of legato polyrhythm that occur – upon Schön's entry in Act One, Scene 2,<sup>138</sup> with the Prince's appearance in Scene 3,<sup>139</sup> and at the end of the same scene with Schön's fit of hysteria at Lulu's tyrannical hold over him<sup>140</sup> – may hint strongly at a libidinous force, which the Alwa passages later in the opera make more obvious, but until that point of release remain stiltedly constrained.



**EXAMPLE 4.7****(a)** Berg, *Lulu*, Act One, Scene 2, bars 533-535

Sonata  
Allegro energico (♩ = 80)

Vns. *f marc.* +Obs.

**(b)** Berg, *Lulu*, Act One, Scene 2, bars 967-971

[ Grave ♩ = 38 ]

967 Vns. Fls. +Obs.  
Vcls. Cls./Vlas.  
Strs. *molto f espressivo* Tbns. *p*  
969 (Cls.)

Consequently, the fact emerges as unsurprising that the first form of textural alteration conducive to a sense of Berg interfering with the *Neue Sachlichkeit* premise to a more than ‘lower auxiliary’ level lies not in polyrhythm as the unqualified data in Appendix A might suggest, but in tripletized crotchet-quaver patterns. During the interlude to Act One, Scene 3, as shown in [Example 4.7](#), Berg subjects the ‘tiger-like’ rigidity of the theme allotted to Schön on his entry in the preceding scene,<sup>141</sup> to various swing-like modifications. The effect comes across as polyrhythmic against a simple parallel flow of legato quavers, but – as pointed out earlier<sup>142</sup> – as otherwise rhythmically unassimilated, thus peculiarly grating. Insofar as the scattering of tripletized crotchet-

quaver patterns and the swathes of legato coextensive polyrhythm in *Lulu* represent swing-relatable forms of 'synecdoche' and 'metonymy' respectively,<sup>143</sup> stages that Harold Bloom, despite a lack of pedantry, might prefer to see as successive stages in the modification of poetic forms of 'defence',<sup>144</sup> a profiling of the former 'trope' in this opera emerges as congruently antecedent to a profiling of the latter, if by a rather small margin, given the occurrence of the Alwa 'preview' in the scene that follows; *ipso facto*, therefore, Berg's 'preview' from bar 1020 of the initial variants of Alwa's thematic material sensitively scored for flutes, horns and vibraphone, does not amount to a real commencement of his thrust against a textural rigidity that soon regains hold.

#### 4.4.1.1 'Prelude' to the core swing-relatable interest in *Lulu*, Act Two, Scene 1

As a commencement proper, the 'prelude' – so-termed above – to the central swing-relatable episode starts with Alwa's entry in Act Two, Scene 1 at bar 243, as shown in [Example 4.8](#). Although romantically dependent on a thick harmonic texture of strings, thus not as instantly suggestive of swing as if primed by means of jazz-related timbre, a complex of twos against threes surges forth declaratively, tellingly assimilative of tripletized crotchet-quaver patterns twice in the space of only four bars. Additionally, the sound creates a background for the entry at bar 245 of a sinuous line on the all-important saxophone. Douglas Jarman does not link this sonority with Alwa,<sup>145</sup> and wisely, given the role of that instrument in the Prologue and in the 'Canzonetta' from Act One, Scene 1, of depicting the sensuality of the heroine of this opera.<sup>146</sup> The saxophone nevertheless colours the Alwa thematic material strongly in Act Two, and has drawn Pierre Boulez's opinion as to a link with that character.<sup>147</sup> Comparison of this passage, set against a spoken dialogue, with the equivalent passage in Act One, Scene 3, bars 1027-30, in which Alwa features as a singing part, proves illuminating:

**EXAMPLE 4.8**

Berg, *Lulu*, Act Two, Scene 1, bars 243-246

A tempo ♩ = 69

Vns. 1

Vns. 2 *poco f*

Vlas.

Vels.

Dbs. *poco f*

Alto sax

*p* *poco f*

**EXAMPLE 4.9**

Berg, *Lulu*, Act Two, Scene 1, bars 257-261

Ww.

257 *f* *fp* *mf* *mp* (Sempre recit.)

Vlas. *f* *molto espr.*

Ww. *f* *fp* *mf* *sempre espr.* *mp*

260 *mp* *p* *pp* *pp*

for the 'preview' version shows the Alwa theme, in spite of rhythmic vacillations, as binary, while the voice and horns unfold the complicating triplet aspect as a separate factor, an approach that insinuates an idea of Alwa as superficially prim, yet inwardly lustful. In this light, the 'metonymic' idea of polyrhythm as swing-relatable fits well.

As tabulated thematically by George Perle in his comprehensive examination of *Lulu*,<sup>148</sup> this section of the opera depicts Alwa as increasingly drawn by Lulu's erotic allure, under Dr. Schön's secret gaze, and with a farcical series of interruptions from persons in hiding around the room.<sup>149</sup> The interruptions also include two appearances of a manservant who enters to provide refreshment,<sup>150</sup> a device used to show the effect of Lulu on every man that she meets. On the whole, the interruptions involve a disparate kind of musical commotion that does not affect the question of swing-relatedness. With the manservant's first appearance, however, as the first interruption in the series, a process of instrumental dialogue starts, in which, as shown in [Example 4.9](#), uniform duplets on wind ensemble alternate with a sinuous triplet-dominated line on violas. As the one part of this phase not featured by Berg in his *Lulu-Suite*, this alternation demonstrates the fact that sequential forms of polyrhythm – as a form not listed in Appendix A and not otherwise featured importantly in this work – may also have a powerful effect on a listener's sense of entrainment, and contribute to a feeling of looseness totally in support of the swing-relatable aspect elicited by the coextensive forms of polyrhythm that predominate. The value in a jazz-related sense in particular finds support in the effect of astringent chords as enunciated by pithy wind sonorities.

In the bridge section, which marks the end of this first interruption and prepares for the next passage of Alwa thematic material, Berg returns to a style based on quavers,

**EXAMPLE 4.10**Berg, *Lulu*, Act Two, Scene 1, bars (277)-278

Musical score for Example 4.10, showing piano (Pfte.) and strings (Strs.) parts. The tempo is marked as [♩ = 69] and the dynamic is *p* (echo). The piano part features a complex polyrhythmic texture with triplets and slurs. The strings play a staccato accompaniment with a dynamic of *mf*.

**EXAMPLE 4.11**Berg, *Lulu*, Act Two, Scene 1, bars 285-6

Musical score for Example 4.11, showing various orchestral parts. The tempo is marked as [♩ = 69] and the dynamic is *poco f*. The score includes parts for Clarinets/Violas (Cls./Vns.), Horns (Hn.), Trumpets (Tpt.), Bassoon (Bn.), and Lower Strings (Lower Strs.). The piano part features a complex polyrhythmic texture with triplets and slurs. The strings play a staccato accompaniment with a dynamic of *fp*.

with a passage that at first sounds very demure in spite of an interesting polyrhythmic ‘twitch’ in the lower parts at bar 266, as noted.<sup>151</sup> The subordinate theme, on horn at bar 268, arising out of this passage, proves the source of a degree of restlessness, which, after interruption by a melodramatic ‘aside’ by Schön at bars 273-4, develops syncopated aspects that, as shown in [Example 4.10](#), break into a playful fit of staccato polyrhythm on the piano; a rather incisive effect that nevertheless connects allusively with the polyrhythmic trend, on account of a legato element in the string background. In this way, Berg prepares for a major return to legato polyrhythmic interest, which starts in the lower parts, as shown in [Example 4.11](#), at the point of transition into the

**TABLE 4.3**Berg, *Lulu*: Alwa material in Act Two, Scene 1, as affected by swing-relatable factors

<b>Thematic content</b>	<b>Location of complicating triplet aspect</b>	<b>Use of jazz-related timbre</b>
Alwa theme, <u>main</u> [from b.243]	None in upper part; <u>markedly in middle part</u>	Shortly, <u>saxophone enters as middle part.</u>
Alwa theme, <u>variant 1(a)</u> [from b.281], with brief codetta [from b.285]	<u>Breaks out in upper part;</u> very slightly in middle part; <u>transfers very markedly to middle part for codetta</u>	None; neo-Romantic use of trumpet for upper part.
Alwa theme, <u>variant 1(b)</u> [from b.289], with extended codetta [from b.302]	<u>Breaks out in upper part,</u> at first very slightly in lower parts; <u>markedly in codetta in one part or another.</u>	<u>Upper part actually on saxophone; much use subsequently of muted trumpet, vibraphone etc.</u>
Alwa, theme, <u>variant 2</u> [from b.319], couched and extended by 'concluding theme' [from b.306]	<u>Strongly present in upper part;</u> very slightly in lower parts.	Initially, neo-Romantic use of timbre and harmony; <u>saxophone</u> added later, followed by <u>muted brass.</u>

next outlay of Alwa thematic material; the concentration of tripletized crotchet-quaver patterns in the legato polyrhythmic mixture at this point obviously deserves mention.

With the butler's exit at this point, swing-related interest attaches solely to rondo-like successions of Alwa material, up to Schön's eruption in an intolerable state of anger,<sup>152</sup> as comprise the first half of the *Lulu-Suite* 'Rondo'. Understandably, as not dealing with swing-relatable aspects, Perle's tabulation of material itemizes three occurrences of a 'principal [Alwa] theme', rounded-off by a 'concluding [Alwa] theme'.<sup>153</sup> As shown in Table 4.3, however, a focus on polyrhythmic aspects reveals a more complex kind of activity, enhancing an awareness of the way in which the Alwa material provides a main theme that leads by increasingly heterogeneous means to the 'concluding theme', via an intermediary variant enunciated as two sub-variants; thus, while Perle's idea of a 'concluding theme' highlights the different – if derived<sup>154</sup> – lyrical shape that floats in at bar 306, such material serves much more saliently as a

**EXAMPLE 4.12**Berg, *Lulu*, Act Two, Scene 1, bars 286-8

The musical score for Example 4.12 consists of four staves. The top staff is for the vocal part, labeled 'Alwa' with a tempo marking of quarter note = 69. The lyrics are: 'Ich ver-sich-e-re Dir, es gibt Aug-en-blic-ke, wo man ge-war-tig ist, sei-gan-zes In-ne-re'. The vocal line features a series of triplet eighth notes. The second staff is for the Trumpet (Tpt.), marked 'p ma espress.' and 'cresc.'. The third staff is for the Clarinet (Cls.), also marked 'p ma espress.' and 'cresc.'. The bottom staff is for the Strings (Strs.), marked 'fp' and 'poco f'. The string part features a complex polyrhythmic pattern of eighth notes, with some triplet markings.

couching for the highly Romantic melody from bar 320, as clearly related to the main Alwa theme, a setting of this character's words, 'A soul, rubbing its eyes in paradise'. Details of polyrhythmic elaboration in upper or lower parts plus varying combinations with elements of jazz-related timbre prove illuminating: the table reveals from within the combination of factors a core of swing-relatable interest, comprising the codetta to Variant 1(a) of the Alwa theme, together with the whole of Variant 1(b), including codetta, all of which Berg couches within an exceptionally sympathetic environment.

Berg's presentation of Variant 1(a) of the theme, although featuring a neo-Romantic burst of lyrical effusion on un-muted trumpet, thus from this angle not at all jazz-related, proves anticipatory in that the composer transfers within the orchestral swathe almost all of the complicating triplet activity to the highest melodic line. This obvious thematic derivation involves a subjection of the initial rising interval of a sixth to a series of repeated quasi-extempore 'leaps', the last of which breaks out at bar 268, as shown in [Example 4.12](#), into a plethora of quaver triplets, in polyrhythmic conflict with quaver duplets underneath. In addition to this important move to foreground the

**EXAMPLE 4.13**Berg, *Lulu*, Act Two, Scene 1, bars 285-6

Lilting 2:1-like 'seepage' generated by legato coextensive polyrythm

Coextensive polyrythm plus parsing at three melodic levels may create a perception of the violin semiquavers as lengthened as shown by the arrows, in turn raising a question about exactitude on the part of the performers.

idea of triplets, as in effect the 'locus' of polyrythmic interest, Berg subjects Alwa's vocal line at that point to a continual imbue ment with triplets as the main level of parsing; and also, to cap this expansive move on the composer's part, the form of this varying section diverges from the form of the original – in a way not yet encountered in this work – in a complete dissolving of the lyrical outburst into the brief but intense polyrythmic 'codetta' that opens up the inner core of the first swing-relatable phase.

**4.4.1.2 The core swing-relatable interest in *Lulu*, Act Two, Scene 1**

As shown in [Example 4.13](#), this 'codetta' opens the core swing-relatable interest with a sustained polyrythmic texture of twos, threes and fours, which, for all the lack of connection to jazz by means of timbre, proves decisive in severing the work from dependence on the rhythms of *Neue Sachlichkeit*;<sup>155</sup> a fact that would have saturated the composer's urge towards the disparateness of his own notation.<sup>156</sup> The passage obviously harks back to the passage of triplets and tripletized crotchet-quaver patterns



previously encountered in the slow movement of the Chamber Concerto;<sup>157</sup> Berg has certainly not written this kind of passage during the compositional interim. The passage in *Lulu* nonetheless differs in a treating of triplets in a polyrhythmic way, and, given that jazz swing would not have penetrated the middle European consciousness so extensively as early as 1925, date of completion of the earlier work, in the idea of attachment, in a 'metonymical' way,<sup>158</sup> to a possible external object of representation.

As a passage only two bars long, this first 'codetta' in *Lulu* serves to highlight the contextual force potential within even brief instances of such an effect.<sup>159</sup> In this case, the power lies in the newly radical approach to polyrhythm exhibited by Berg, and the extent to which, in relation to preceding non-simple passages that have covered a total of ten pages in score, the sound marks a clear furtherance and increase of a tendency away from rigidly demarcated quavers.<sup>160</sup> To enhance the ease of forming an opinion over this kind of issue, Table 4.2 gives not only the number of pages for each affected section, but also the accumulative totals; this accumulating fact will thus 'colour' the perceptions of anyone listening to the polyrhythmic passages that follow, and that in addition introduce a more open approach to jazz-related timbre. As a result, the idea of confining the view of this music as a response to swing 'unconsciously' starts to diminish; the idea of Berg attaining at least a three-quarters degree of awareness, via an arguably 'metonymic' form of connection to swing, starts to look quite reasonable.

As instantly appreciable, bars 285-6 create a particularly free-floating effect on the listener's sense of entrainment, by a permutation of parallel melodic functions: '3/16' on violins, tripletized '5/8' on clarinet and out-of-phase '3/8' on horn and cellos. As anticipated previously,<sup>161</sup> the general polyrhythmic jumble not only projects a sense of

**EXAMPLE 4.14:**

**(I)** Berg, *Lulu*, Act Two, Scene 1, bars 285-6

Subito senza rubato (♩ = 54)

Coextensive polyrhythm plus parsing at three melodic levels may create a perception of the violin semiquavers as lengthened as shown by the arrows, in turn raising a question about exactitude on the part of the performers.

**(II)** Popular melodies of the 1920s and 1930s that employ cross-accentual ostinati:

**(a)** George Gershwin (to words by Ira Gershwin), 'Fascinating Rhythm' (1926), refrain, bars 1-4

**(b)** McHugh (to words by Fields), 'I Can't Give You Anything but Love, Baby' (1928), refrain, bars 1-4

[Andante con moto]

**(c)** Garland, 'In the Mood' (1939), bars 1-4

irregularity 'shot through' with a swing-relatable feeling of regularity, but, to judge by experience, also seems to have the capacity of conducing to a perception of the semiquavers in the passage as, in reality or at any rate in the listener's imagination,<sup>162</sup> rendered as distorted 2:1 pairs by the performers; the present writer can testify to occasions when the music has struck him spontaneously in this way.<sup>163</sup> In any case, the 'airy' sense of fluidity generated quite astoundingly by this music abolishes totally any possibility of summarily dismissing either the polyrythm, or the tripletized 2:1 shapes in this work, as a sign of at least a three-quarters conscious response to swing.

Of particular interest at this point lies the fact that, as shown in Example 4.14, the continuous cross-accentual rotation in the violin semiquavers in the passage conjures up noticeably the strategy of jazz age tunes such as Gershwin's 'Fascinatin' rhythm' of 1926 or 'I can't give you anything but love, baby' of 1928, a mediation that works on two planes: firstly, as regards the melodic aspect of the violin semiquavers, a hint of awareness of the obsessive quality of such popular tunes; secondly, as regards the fact that the music in *Lulu* uses polyrythm to interfere with perceptions at point of audition and even performance,<sup>164</sup> a hint of awareness of the rhythms of such tunes as customarily tempered in a lilting fashion, of a rapid form of jazz perceived as a loosened-up kind of ragtime.<sup>165</sup> Accordingly, James Lincoln Collier traces the interest shown in rotation by Duke Ellington from the late 1920s as derived from the original practices of ragtime,<sup>166</sup> which passed into jazz practice, as shown in Chapter Two by the citation of Jelly Roll Morton's version of *Maple Leaf Rag*;<sup>167</sup> the feeling of rhythmic looseness generated at bars 285-6 in Act Two, Scene 1 of *Lulu* may thus even arouse suspicions – at some level in the listener's mind – that, at this point and in

**EXAMPLE 4.15**Berg, *Lulu*, Act Two, Scene 1, bars 298-301

Subito Tempo 1 [ ♩ = 69 ]

298 [Alto sax.]

300

*p dolciss.*

*p*

*senza cresc.*

*p*

*+Vns*

*cresc.*

*f*

*trill*

the following passages, Berg has consciously reinforced an association of polyrhythm with swing as played at a livelier tempo, and has thus entered into the idiomatic spirit.

After a dramatic hiatus at this point in the opera, but leading on consecutively in the *Lulu-Suite*,<sup>168</sup> the next passage continues, indeed augments the core swing-relatable interest in this part of the work, by returning to the Alwa thematic material and focally adding a preoccupation with jazz-related timbre: thus, as shown in [Example 4.15](#), the material of Variant 1(b) returns, initially in the same form as Variant 1(a), with an outbreak at bar 300 of quaver triplets in the upper part, but this time round as part of a melody actually played on the saxophone. The triplet outburst conduces strongly at this point to a sense of similarity with jazz saxophone extempore, such as evolved in

**EXAMPLE 4.16**Berg, *Lulu*, Act Two, Scene 1, bars 304-306

The rhythmic association with each set of triplets may distinctly suggest an effect of swing-like enunciation

the same period through the work of Coleman Hawkins and Lester Young;<sup>169</sup> and as a further point of difference, the following ‘codetta’ extension foregrounds the timbres of muted brass and vibraphone, in a bold fragmentation plus reintegration of material, by means of Alwa-thematic ‘reminiscences’ of the ‘codetta’ to the previous section.<sup>170</sup>

As part of that new ‘codetta’ reintegration, a melodic line at bars 302-3 enunciates semiquavers on flute and solo violin, in parallel sevenths that ‘peter out’ via a quaver triplet into ordinary quavers. Immediately afterwards, a similar sequence arises on vibraphone, set against a polyrhythmic texture of other solo instruments, in which, as shown in Example 4.16, the semiquavers ‘peter out’ yet more palpably into a crotchet triplet. Apart from with the quaver triplets in each case, neither sequence involves the kind of coextensive polyrhythm that occurs earlier at bars 285-6, and that provides the revolving semiquaver shape with a point of allusion;<sup>171</sup> yet the slight 2:1 ‘seepage’ at those points, and at junctures separating the sequences, lends considerable perceptual power to the parts that ‘peter out’, which acquire the capacity to suggest, in imagined or even in real terms, the actions of instrumentalists, who at those points may slacken

**EXAMPLE 4.17**Berg, *Lulu*, Act Two, Scene 1, bars 319-323

319 Tempo II [♩ = 54]

Cl. *p ma molto espress.*

Strs./Hp./BCl. *p dolce*

322 *mp espress.*

their binary control in the manner of jazz musicians.<sup>172</sup> The use of vibraphone primes the passage in a jazz-like way too, and encourages a strong feeling of likelihood that the sequences mediate a love of jazz on Berg's part, upped by the coincidence of his success with the worldwide spread of that genre.<sup>173</sup> A feeling that the music reveals at least a three-quarter level of awareness by the composer reaches an apex at this point.

**4.4.1.3 'Postlude' to the core swing-relatable interest in *Lulu*, Act Two, Scene 1**

The 'postlude' to the core swing-relatable interest of this phase starts at bar 319, with Variant 2 of Alwa's theme,<sup>174</sup> a very clear adaptation. As shown in Example 4.17, Berg's conversion of the original binary material, through triplet outbursts in variants 1(a) and (b), reaches an apogee in the triplet-dominated line on clarinet at this point: *qua* thematically-invested substance, the music reaches a polyrhythmic maximum. On the other hand, as noted earlier,<sup>175</sup> Variant 2 marks an ebbing in swing-relatable terms,

**EXAMPLE 4.18**

Berg, *Lulu*, Act Two, Scene 1, bars (324)-327

Example 4.18 shows a musical score for Act Two, Scene 1, bars 324-327 of Berg's *Lulu*. The score is in 2/4 time and features a complex polyrhythmic structure. The tempo is marked as quarter note = 54. The instrumentation includes Flute (Fl.), Saxophone (Sax.), Horns (Hn.), Woodwinds (Ww.), and Strings (Strs.). The Flute part features a prominent triplet pattern. The Saxophone and Horns parts also feature triplet patterns. The Woodwinds and Strings parts provide a harmonic and rhythmic foundation. Dynamics range from *poco f* to *mf*.

**EXAMPLE 4.19**

Berg, *Lulu*, Act Two, Scene 1, bars 329-332

Example 4.19 shows a musical score for Act Two, Scene 1, bars 329-332 of Berg's *Lulu*. The score is in 2/4 time and features a complex polyrhythmic structure. The tempo is marked as quarter note = 54. The instrumentation includes Flute (Fl.), Saxophone (Sax.), Horns (Hn.), Woodwinds (Ww.), and Strings (Strs.). The vocal parts are for Lulu (doubled by Vns.) and Alwa. The lyrics are: "Lulu (doubled by Vns.)", "Alwa f", "Sich mich nicht so an um Got - tes will -", "Mig - non!", "Schmatternnd", "en!", "Rich - te mich zu grun - de! Mach' ein En - de mit mir". The Flute and Vns. parts feature a prominent triplet pattern. The Saxophone and Horns parts also feature triplet patterns. The Woodwinds and Strings parts provide a harmonic and rhythmic foundation. Dynamics range from *f* to *mf*. The score includes markings for *marc.* and *dolce*.

on account of the lack of jazz-related instrumentation and the Romantic infectiousness of richly-spaced harmonies in F# minor. In this legato polyrythmic sound, Berg returns whole-heartedly to the world of Brahms. As discussed,<sup>176</sup> a blatant appeal to the listener's emotions marks the section with a strongly salient characteristic, but as couched indeed within a 'concluding theme' as a less palpable elaboration of lyrical content.<sup>177</sup> As the Alwa-related material dissolves, however, Berg extends his use of polyrythm unabated, as shown in Example 4.18, and restores a surreptitious use of the saxophone. With the harmonies once again ambiguous and 'atonal', the composer subsequently effects a transition to the impassioned outburst by Alwa in bars 331-2.<sup>178</sup> In that outburst, as shown in Example 4.19, the line climaxes at a single tripletized crotchet-quaver pattern, one no longer viewable solely as Romantic,<sup>179</sup> while muted brass carry the burden of sonic and polyrythmic interest, if by this point less legato.

#### **4.4.1.4 The 'Lied der Lulu'**

The twenty-one pages of score that introduce legato polyrythm as a major textural factor in *Lulu* leave a mark strong enough to withstand the immediate return to other kinds of texture:<sup>180</sup> as used, for example, to accompany the hurly-burly surrounding Schön's death. As a result, a polyrythmic passage that occurs, as shown in Example 4.20, in the pivotal 'Lied der Lulu' – a part of the opera in which the heroine declares her position in the face of Schön's criticism – comes across irresistibly as associable within the sphere of the first swing-relatable phase, even though separated by a gap of fifty-six pages;<sup>181</sup> yet the contiguity otherwise of Lulu's 'Lied' leaves an impression of the polyrythm as in fact a reflection of the regard in which Alwa holds her, just as the tripletized crotchet-quaver patterns in the 'love theme' from Act One, as discussed earlier,<sup>182</sup> suggest Schön's regard, not the heroine's perspective as cool and detached;



**EXAMPLE 4.20**Berg, *Lulu*, Act Two, Scene 1, bars 507-511[ Comodo, *Tempo des Pulsschlages* ♩ = ca 80 ]

Musical score for Example 4.20, showing vocal line for Lulu and piano accompaniment for Tpts., Pfte., and Hp. The score includes triplets and dynamic markings like *mf* and *p*.

**EXAMPLE 4.21**Berg, *Lulu*, Act Two, Scene 1, bars 522-524[ Comodo, *tempo des Pulsschlages* ♩ = ca 80 ]

Musical score for Example 4.21, showing vocal line for Lulu and piano accompaniment for Vns. *con sord.*, Sax., and Hns+. The score includes triplets and dynamic markings like *p* and *mf*.

hence the tranquil unfolding of the ‘Canzonetta’ in Act One, Scene 1.<sup>183</sup> When Lulu rages at Schön at the end of her ‘Lied’, therefore, the triplets occur, shown in [Example 4.21](#), as practically unimpeded by contrary forms of rhythm and much more regulated.

**4.4.2 Second coalesced phase, characterizing Act Two, Scene 2**

In the first phase of swing-relatable polyrhythm, Berg consequently stamps the opera with a sybaritic textural manner in the name of his autobiographical hero, Alwa; and unsurprisingly, since the amorous entanglement of that character continues to increase

**TABLE 4.4**

Berg's *Lulu*: **second coalesced phase of swing-relatable polyrhythm**, positioned towards the end of Act Two, Scene 2 [===== indicates minor discontinuity]

<u>Bar numbers</u> (plus page numbers.)	Use of legato coextensive polyrhythm	Use of tripletized crotchet-quaver patterns	Use of jazz-related timbre etc.	Thematic status [see Table 4.1]	Number of pages [plus running total]	Value as swing-relatable (5 as max feasible)
<u>bs.1022-1029</u> (pp. 610-612) =====	Continual	None	High	Geschwitz's material	3 [3]	****
<u>bs.1038-40</u> (pp. 614-5) =====	Continual	None as such	None	Alwa's material	2 [5]	**
<u>bs.1069-72</u> (pp. 624-8) -----	In patches	Woven-in	Moderate	(ditto)	2 [7]	****
<u>bs.1073-4</u> (p.626) =====	Continual	Woven-in	High	(ditto)	1 [8]	*****
<u>bs.1078-86</u> (pp. 627-30) =====	In patches	None	Low	(ditto)	4 [12]	**
<u>bs.1102-11</u> (pp.634-7) -----	Continual	Woven-in	Moderate	Alwa's 'Hymne'	4 [16]	****
<u>bs.1112-18</u> (pp. 638-40) =====	Continual	Woven-in	Moderate	(ditto)	3 [19]	****
<u>b.1125</u> (p.641) =====	In patches	Woven-in	Moderate	(ditto)	1 [20]	***
<u>bs.1131-2</u> (pp.643-4) =====	In patches	None	Low	(ditto)	2 [22]	***
<u>bs.1142-3</u> (pp.647-8)	In patches	None	Moderate	(ditto)	2 [24]	***

**TABLE 4.5**Berg, *Lulu*: Alwa material in Act Two, Scene 2, as affected by swing-relatable factors

<b>Thematic content</b>	<b>Location of complicating triplet aspect</b>	<b>Use of jazz-related timbre</b>
Reprise of transitional material from first phase [from b.1004]	Only hints; some use of legato sequential polyrhythm	Tutti with strong middle part filigree on <u>sax</u>
Geschwitz-associated material [from b.1022]	<u>Pervades all parts</u>	<u>Use of muted brass</u>
Alwa, <u>variant 2</u> , couched in various ways [from b.1038]	None in upper part; <u>very markedly in middle part</u>	Neo-Romantic use of timbre and harmony, though <u>saxophone</u> leads into section
Alwa, <u>main</u> [from b.1059]	None in upper part; very slightly in middle part	None; strident neo-Romantic use of trumpet for upper part;
Alwa, <u>variant 1(a)</u> [from b.1069], with brief codetta [from b.1073]	<u>Breaks out in upper part, also TCQ patterns, at first very slightly in lower parts; very markedly in middle part for codetta</u>	<u>Saxophone joins in as middle part filigree; saxophone and muted trumpet in effect as a 'jazz combo' in codetta</u>
Alwa, <u>variant 2</u> [from b.1076], couched and extended by 'concluding theme' [from b.1075]	Strongly present, but only in Alwa's vocal line as upper part	Initially, neo-Romantic use of timbre and harmony; saxophone only marked as an optional support for Alwa's vocal line, but with vibraphone to start with
Alwa's ' <u>Hymne</u> ' [from b.1097]	An initial, hemiola-ridden 12/8 <u>grows all of a sudden continually and extensively polyrhythmic and pliable</u>	Ambiguously <u>jazz-related</u> to start with, including <u>sax</u> as optional with Alwa's vocal line, <u>an instrumental feature stipulated in the <i>Lulu-Suite</i>, and leading to an increasing use of saxophone and especially vibraphone</u>

until the end of Act Two, indeed more importantly survive the dramatic turning-point of Lulu's dispatch to gaol, he returns with that method of characterization in a second phase, accompanying Alwa's reunion with the heroine after her escape. A comparison of Table 4.2, which gives details of the first phase, with Table 4.4, which gives the details of the second phase, nevertheless shows a more restrained approach in the use

of jazz-related timbre, which would seem to undermine the swing-relatable aspect. In parts of this phase, on the other hand, the amount of coextensive polyrythm rises. As illuminated by the ratings in the right hand column, and by the thumbnail descriptions given in [Table 4.5](#), therefore, this phase, although manifestly an extensive reprise of the first phase in a thematic sense, emerges as remaining comparably swing-relatable by virtue of a re-balancing and reinvestment by Berg of the various factors concerned.

#### **4.4.2.1 Reprise and reinvestment of material from the first coalesced phase**

The composer achieves this re-balancing and reinvestment in three ways. Firstly, in the midst of a return to Alwa-related material, deprived of polyrythm and jazz-related timbre and with a Romantically-coloured recapitulation structure based on two runs of Variant 2 creating a thematic mainstay,<sup>184</sup> he draws the listener back into the sybaritic milieu, not by reference to Alwa, but, as shown in [Example 4.22](#) overleaf, by a palindrome-like passage of chromatic scales related rhythmically to the *accelerando-ritardando* aspects of music associated with the Countess Geschwitz, who features *in absentia* at that point, as the extremely painstaking accomplice in Lulu's account of her escape from gaol. Through a rhythmically 'decadent' texture and – as already encountered<sup>185</sup> – a liberal use of muted brass, Berg manages to restore a sybaritic, indeed swing-relatable mood to a scene of very gloomy circumstances, also to expose the extent to which Lulu possesses, at least in her sufferings, the capacity to melt even the heart of the countess, a figure otherwise accompanied in a more rigid kind of way.

Secondly, Berg totally re-balances the swing-relatable effect in the central part of the phase. As pointed out above,<sup>186</sup> the neo-Romantic and eclectically-couched harmonies of Variant 2 carry a much greater degree of structural weight during this second phase

**EXAMPLE 4.22**Berg, *Lulu*, Act Two, Scene 2, bars 1022-1029

A tempo, tranquillo, ma poco animato

1022 Alwa

Mit dei - nem Bild kannst Du es

Fls. *mp ma espress.*

Strs. *pp*

1024 Lulu

im - mer noch auf - neh - men. A - ber im Ge -

Cls. *p* Tbns. con sord. *pp*

1027 Tpts. con sord.

sicht bin ich doch schmä - ler ge - wor - den.

The musical score consists of three systems. The first system (bars 1022-1023) features Alwa's vocal line in the upper staff, piano accompaniment for strings (Strs.) in the lower two staves, and a flute (Fls.) line in the middle staff. The second system (bars 1024-1025) features Lulu's vocal line in the upper staff, piano accompaniment for strings (Strs.) in the lower two staves, and lines for clarinet (Cls.) and trombones with mutes (Tbns. con sord.) in the middle staff. The third system (bars 1026-1027) features Lulu's vocal line in the upper staff, piano accompaniment for strings (Strs.) in the lower two staves, and a trumpet line (Tpts. con sord.) in the middle staff. The piano accompaniment is characterized by complex polyrhythmic patterns, including triplets and sextuplets, and dynamic markings such as *pp* and *mp*.

by occurring twice as a recapitulation structure. At the same time, the composer robs his reprise of the main Alwa theme of most of the original polyrythm, and of all of the original jazz-related timbre, by transferring thereto in heroically strengthened form, as a canon against the horns, the neo-Romantic sound of unmated trumpet used in the first phase as the medium for Variant 1(a).<sup>187</sup> In addition, Berg omits to reprise Variant 1(b) as the most swing-relatable part of that first phase. The momentary transference of sybaritic interest to the absent figure of Geschwitz at the start of the second phase, plus reduction of swing-relatable aspects linked to Alwa, consequently creates an effect of dispersal: whereas the first phase presented an impressive swathe of material more or less continuously, the relevant thematic sections on reprise yield swing-relatable aspects only in isolated patches; the sense of luxury appears in recess.

In the process, however, by a transformation and even intensification in respect of the use of jazz-relatable timbre, Berg transfers the feeling of an earlier core of swing-relatable interest – though much shrunken in reprise – emphatically to the previously-Romantic material of Variant 1(a), which serves in this new guise as the core of the second phase. The composer thus not only confirms the listener's memory of Alwa as having given rise to such reflections in Scene 1, but also compensates for the greater brevity of function at this point, by a renewed preoccupation with instrumental colour. As shown in [Example 4.23](#), the reprise does not at first displace the neo-Romantic associations; at the same time, a greater union of the voice with the upper instrumental line precipitates extra polyrythmic flourishes,<sup>188</sup> plus enhancements of the melodic sense of 'spring' with a couple of tripletized-crotchet quaver patterns, perhaps less easily dismissed in swing-relatable terms.<sup>189</sup> Furthermore, Berg starts to restore a clear yen for jazz instrumentation, initially by introducing the saxophone at bar 1071 for an

**EXAMPLE 4.23**Berg, *Lulu*, Act Two, Scene 2, bars 1069-1071

Alwa [♩=69]  
Komm! Ei - nen Kuß Ei - nen Kuß! Ei - nen

Strs. *poco f*

Cl. 3

Sax. 3

The score for Example 4.23 features a vocal line for Alwa and instrumental parts for strings, clarinet, and saxophone. The tempo is marked as ♩=69. The vocal line includes the lyrics 'Komm! Ei - nen Kuß Ei - nen Kuß! Ei - nen'. The instrumental parts are characterized by triplet rhythms and legato phrasing. The string part is marked *poco f*. The clarinet and saxophone parts also feature triplet rhythms.

**EXAMPLE 4.24**Berg, *Lulu*, Act Two, Scene 2,

subito senza rubato (♩ = 54)

Tpt. *con sord.*

Sax. *pp dolciss.*

Cl. *p senza vibr.*

Hn. *mp <=> p dolce*

(orch.)

The score for Example 4.24 shows instrumental parts for trumpet, saxophone, clarinet, and horn. The tempo is marked as ♩ = 54, with the instruction 'subito senza rubato'. The trumpet part is marked *con sord.*. The saxophone part is marked *pp dolciss.*. The clarinet part is marked *p senza vibr.*. The horn part is marked *mp <=> p dolce*. The score includes triplet rhythms and a dynamic range from *pp* to *p*. An orchestral part is indicated by a dashed line labeled '(orch.)'.

impressively lively portion of middle part filigree, and finally, as shown in [Example 4.24](#), by a complete refocusing upon the earlier quality that has remained muted so far in this part of the opera, by reprising the codetta to variant 1(a) to order, except for a full rescoring, virtually for a jazz ‘combo’ of muted trumpet, saxophone and horn.<sup>190</sup>

**4.4.2.2 Alwa’s ‘Hymne’**

As the third and final measure taken by Berg to alter his approach to this Alwa-related ‘Rondo’ of material, the music thereafter jettisons any of the associations derived

directly from the ethos of Scene 1,<sup>191</sup> which the composer has consigned by this point in the drama as reminiscences,<sup>192</sup> in favour of a significantly new approach; that change accords with new material and imagery – in fact extremely carnal – riding in with the start of Alwa's 'Hymne'. The approach arises from the fact that Berg starts to make a sybaritic virtue out of, at one and the same time, reducing the emphasis on jazz-related timbre, and increasing the emphasis on legato coextensive polyrhythm, as treated for the first time in this work in a metrically continuous fashion.<sup>193</sup> The idea that an actual metrical paradigm emerges on a swing-relatable basis as a result draws the sound-object created even closer to the boundary that separates classical music from swing;<sup>194</sup> the very much-developed context will also conduce to the idea of these seven pages associating with swing, to an extent that could not happen in isolation.<sup>195</sup>

The new music in Alwa's 'Hymne' additionally strengthens the idea of polyrhythm in Lulu as a defensive adaptation to swing,<sup>196</sup> by shifting away from the 'metonymic' approach arguably featured in Act Two, Scene 1,<sup>197</sup> as well as, wistfully so to speak, initially in Scene 2,<sup>198</sup> towards an increased repression of the link:<sup>199</sup> simultaneously – to use Harold Bloom's terms<sup>200</sup> – as 'hyperbole', represented by greater polyrhythmic profusion at this point, and as 'litotes' or ironic understatement, represented by the lowering of Berg's interest in jazz-related timbre. This development creates an effect of 'movement [by Berg] towards a personal Counter-Sublime in reaction to [swing as] the precursor's Sublime'.<sup>201</sup> The extension of Alwa's 'Hymne' thus not only offers interpretation according to this principal, but also, as Bloom later anticipated,<sup>202</sup> fits in with the overall scheme by creating along with the earlier polyrhythmic approach a 'metonymy'-'hyperbole-cum-litotes' pairing,<sup>203</sup> as very clearly contradistinctive to the 'irony'-'synecdoche' pairing represented by Berg's use of tripletized crotchet-quaver patterns.<sup>204</sup> In other words, the four species of approach, derived systematically from



**EXAMPLE 4.25**Berg, *Lulu*, Act Two, Scene 2, bars 1107-1110

The musical score for Example 4.25 consists of two systems of staves. The first system (bars 1107-1110) includes a vocal line for Hns. (*p ma espress.*) and piano accompaniment for Vibr./Hp./Pfte. (*p*). The second system (bars 1109-1110) includes piano accompaniment for Tpts. (*mf cresc.*), Tpbs. (*poco f cresc.*), and Dbs. etc. (*ff*). The music is characterized by complex polyrhythmic patterns, including triplet crotchets and quavers, and dynamic markings such as *p*, *mf*, *cresc.*, and *ff*.

tripletized crotchet-quaver patterns and legato polyrhythm, as arguably followed up to this point, fit in very straightforwardly with a primal scheme of emotional defence;<sup>205</sup> worries about applying that scheme as a ‘Procrustean bed’ do not arise in the slightest.

As a crudely emphatic 12/8, noted earlier in Example 3.7, the ‘Hymne’, at first seems to possess no allusive capacity.<sup>206</sup> As that music unfolds, however, Berg emphasises

**EXAMPLE 4.26**Berg, *Lulu*, Act Two, Scene 2, bars 1112-4

The musical score for Example 4.26 consists of five staves. The top staff is the vocal line for Alwa, marked *molto p*. The second staff is for Vns. 1, marked *pp ma espr.*. The third staff is for Cls./Hp. and (Cl.)+Pfte., marked *p dolce* and *mf*. The fourth staff is for Sax., marked *molto espr.*. The fifth staff is for Vibs., marked *pp ma espr.*. The score features complex polyrhythmic textures with triplets and duplets.

the vibraphone sonority, and brings in a polyrhythmic element that remains constant thereafter, building up a sensually coloured tension that erupts with elegiac force.<sup>207</sup> Accordingly, prior to dissipating in the closing passages to Act Two that follow bar 1118, these seven pages of score project in such a fashion a more-or-less continual texture of pulsating or oscillating quaver triplets against duplets, divided into two main segments. In the first of these segments,<sup>208</sup> from bar 1102, a repeated, hypnotic triplet pulsation on harp and piano serves as a foil against which fluid two-against-three forms of polyrhythm arise on upper strings, soon on woodwind. This passage climaxes very shortly with the outburst on brass shown in [Example 4.25](#), a sound not linked to jazz trumpets or trombones by way of a use of mutes,<sup>209</sup> yet not resistant to the idea of a jazz band connection more generally.<sup>210</sup> In the second and last of the two segments,<sup>211</sup> from bar 1112, a rising saxophone arabesque on saxophone supported by vibraphone releases an oscillating polyrhythmic texture on clarinets supported by harp and piano, as shown in [Example 4.26](#), a passage that glowingly conjures up the feeling of erotic obsession, prior to the ironically macabre conclusion to the entire act.

For a swing-relatable quality to arise strongly from a combination of polyrhythm and jazz-related timbre, provided that at least one of these elements features to a generous extent,<sup>212</sup> determines the power and contrasting nature of the two phases of interest, as shown in Table 4.1. The first phase, accompanying Alwa's initial encounter with Lulu's allure, emerges as more dramatic in this respect, on account of a limited but crucial element of polyrhythm strongly coloured by saxophone and other jazz-related sonorities, plus ambiguous harmonies; the second phase, accompanying the growing passion of the young man after his idol's escape from prison, emerges as superficially less striking, on account of a more modest – though crucially present – use of jazz instrumentation, yet perhaps as more powerful in deeper swing-like terms, on account of a legato coextensive polyrhythm continuously in evidence; thus, whereas Scene 1 disrupts the *Neue Sachlichkeit* feeling of stiltedness that initially haunts this opera,<sup>213</sup> Scene 2 provides emotional deepening by way of a more continuous form of support

#### **4.4.3 Auxiliary elements in *Lulu*, with Act Three as aftermath**

To the extent that, as a fifth of the last five-sixths of Act Two extending from page 393, the almost fifty pages marked by polyrhythmic loosening serve permanently to inform the ethos of the opera as a whole,<sup>214</sup> this effect registers most clearly in Act Three as an aftermath.<sup>215</sup> Insofar as Act One certainly anticipates a loosening on a few occasions,<sup>216</sup> as with the outburst by Schön at the end of Act One, Scene 3, shown in [Example 4.27](#), the effect comes across as a force as yet only threatening to break the bounds of a stilted, bourgeois *Neue Sachlichkeit*.<sup>217</sup> In Act Three, by contrast, a moral catastrophe has occurred,<sup>218</sup> in textural terms represented most of all in Scene 1, with the long, confused passages, not infrequently of polyrhythmic form, accompanying the wheedling machinations of the high-class pimp, Casti Piani, as shown in [Example](#)

**EXAMPLE 4.27**Berg, *Lulu*, Act One, Scene 3, bars (1288)-(1291)

The musical score for Example 4.27 from Berg's *Lulu*, Act One, Scene 3, bars 1288-1291. The score is in a minor key and features a tempo of  $\text{♩} = 80$ . The vocal line for Lulu begins with a *rit.* marking. The lyrics are: "Ich kann nicht sa-gen, wie! Er weint. ... Mein Al-ter! Mei - ne Welt! ... Das Kind, ...". The instrumental accompaniment includes Flute (Fl.), Oboe (Ob.), Horns (Hns.), Violins (Vlns.), Violas (Vlas.), Cellos/Double Basses (Vcls.), and Brass/Double Basses (Brass/(Dbs.)). The score shows complex rhythmic patterns, including triplets and sixteenth notes, and dynamic markings such as *f*, *mf*, and *p*.

4.28, the speculation fever in the Paris salon, shown in [Example 4.29](#), and later the collapse of that fever and ensuing panic.<sup>219</sup> To judge by the comments made by Robin Holloway, such complexity does not automatically give rise to feelings of admiration:

After the lucidity of *Der Wein* and most of *Lulu* itself, [Act Three] reverts to the impenetrability of the [Chamber Concerto...]. In this part of the opera Berg still seems to be at the mercy of his facile complexity, and embarrassed with too many notes that one senses are there rather because he feels they ought to be than because he really wants them. The result is opaque and frustrating...<sup>220</sup>

Possibly, however, given the complexity also prevalent in Act Two, plus the growing simplicity of Act Three as Scene 2 approaches, the dramaturgical ends of this work find a suitable form of service precisely with Berg's construction of a vortex centred on Act Three, Scene 1, which sucks the characters in, then pitilessly spits them out.<sup>221</sup>

The reaching of this vortex back by force of implication into Act Two certainly does not harm the possibility of Berg conducting in his music – with remarkable expressive

**EXAMPLE 4.28**

Berg, *Lulu*, Act Three, Scene 1, bars 99-100

$\text{♩} = \text{ca. } 30$  wie früher

Marquis: Um - so vor - teil - haf - ter eig - nest Du Dich für die

Solo Vn. *mp sempre delicato*

Hns. *p*

Marquis: Stell - ung, die ich Dir aus - ge - sucht ha - be

**EXAMPLE 4.29**

Berg, *Lulu*, Act Three, Scene 1, bars 260-264

$[\text{♩} = 120]$

Lulu: Ja um was - denn? Hast Du die

Geschwitz

Marquis: Du hast mich um all - es be tro - gen. Banker/Athlete

Fls. *p*

Vns./Vlas. *pizz.* *mf*

Hns. *mf*

(Tbn.) *mf*

Lower str. *p*

Bn. *mf*

Ja der Champ

force<sup>222</sup> – to a feeling of swing-similitude. That force would in turn emerge as clearly discernible in traces of polyrhythm and other elements of complexity in Act One.<sup>223</sup> At the same time, the clear interactive relevance of an overall scheme of complexities, as charted in Table 4.1, should not conceal the extent to which the sybaritic impulse may also conflict with more abrasive forms of complexity;<sup>224</sup> thus just as Berg's *Lyric Suite* evinces a sensuality that springs from out of an opening neo-classicism, but with increasingly hysterical effects,<sup>225</sup> so the polyrhythm in *Lulu* relates to an unleashing of forces that topple Lulu into the abyss.<sup>226</sup> The hurly-burly in Act Three, Scene 1 represents those forces at full impersonal strength, as indeed a vortex that deprives Lulu's shortened reprise of her 'Lied' from bar 125 of most of the original profusion; and especially spits out the character of Alwa, stripped of almost all of his amorous sense of luxury. In Act Three, Scene 2, a third reprise of Alwa-related material thus deserves recognition, but barely in terms of swing: from bar 925, a reprise of variant 2, yet 'squared-up' on the basis of quaver duplets; from bar 960, Alwa's main theme, likewise with the middle part robbed of triplets; and from bar 973, Alwa's 'Hymne', still with the triplets but with the whole passage transposed gloomily down an octave.

On the other hand, in the set of variations that forms the interlude to Act Three, Scene 2, the second one marked 'grazioso', at bars 687-97, brings the incontrovertibly lewd implications of swing-like enunciation to the fore, in an impressive demonstration of Berg's hard-won ability to mitigate 2:1 effects.<sup>227</sup> A vicious sense of parody prevails in this passage, not least by means of tripletized crotchet-quaver elaboration of ends of phrases from Wedekind's *Lautenlied* on the subject of brothels,<sup>228</sup> which Berg uses as the theme of these variations.<sup>229</sup> At the same time, the composer mitigates and thus expresses far more honestly the feeling of debauchery, by an addition of polyrhythmic

**EXAMPLE 4.30**Berg, *Lulu*, Act Three, interlude to Scene 2, bars 708-711

quavers in the upper instruments. Interestingly, Berg manages to assimilate a degree of swing-similitude to a vernacular-type tune, even for purposes of parody, without ‘hamming’ the tune up too blatantly with 2:1 lilt: as shown in [Example 4.30](#), he assimilates the tripletized crotchet-quaver patterns to the accompanying polyrhythm. As a result, the strongest swing-relatable effect in Act Three, Scene 2 occurs at bar 1024; at which point, Berg reprises this fragment of treated melody, and in so doing overwhelms the enfeebled Alwa-related material preceding. Ironically, a rhythmic mode that had contributed to a depiction of pleasure, turns into an emblem of avarice.

The fact of this aesthetic transference emerges with painful finality, shortly after the ‘Lautenlied’ reprise, in the death of Alwa at the hands of the Negro, a scene purposely dominated by music associated with the painter’s death in Act One, Scene 2,<sup>230</sup> and thus – though more summary in Berg’s brutal use of percussion<sup>231</sup> – totally reducible to a cross-accentual use of quavers.<sup>232</sup> The combination of tripletized crotchet-quaver

**EXAMPLE 4.31**Berg, *Lulu*, Act Three, Scene 2, bars 1315-7

Grave (♩ = 38) Geschwitz

The musical score for Example 4.31 is set in 4/4 time with a tempo of Grave (♩ = 38). It features a vocal line and an instrumental ensemble. The vocal line consists of two phrases: "Lu - lu!" and "Mein En - gel". The instrumental ensemble includes Piano (Pfte.), Violins (Vns.), Viola (Vla.), Violoncello (Vcl.), Bassoon (Bcl.), and Double Bass (Db.). The instrumental parts are marked with dynamics such as *p*, *ma molto espress.*, and *ppp*. The score includes various rhythmic markings, including triplets and slurs, and a box labeled "Geschwitz" above the vocal line.

patterns with straight quavers that characterizes the music of Schön's 'love theme' in Act One recurs also during Lulu's seduction by Jack, so associating him completely as a vengeful reincarnation of one of Lulu's victims;<sup>233</sup> yet Alwa's death shortly prior serves to spell the finality of the blow inflicted back by society on pleasure-lovers.<sup>234</sup> As a teasing reservation nevertheless on this account, the music allotted to Geschwitz that recurs throughout the latter half of this scene,<sup>235</sup> and, as shown in Example 4.31, comes hauntingly to dominate the closing bars of the opera, shows a polyrhythmic re-infusion of the work in this thematic domain; clearly, again,<sup>236</sup> the stilted aura of this lesbian cannot but succumb to Lulu *in extremis* with a pliable sense of responsiveness.

**4.4.5 A general verdict on Berg's use of polyrhythm in *Lulu*****EVIDENCE OF BERG'S RESPONSE TO SWING, ITEM FIVE:**

As an interrelated entirety, therefore, the two coalesced phases of legato polyrhythmic interest in *Lulu* in Act Two, Scenes 1 & 2 respectively, plus auxiliary elements as described, emerge as relevant for consideration as evidence on the following grounds:



- The polyrhythmic effect stands heightened on account of acute cultural sensitivities, as the closest form of proximity to the swing in jazz available for non-satirical purposes in classical music.<sup>237</sup>
- Berg returns to this form, which he had used without such possibilities of association earlier in his career,<sup>238</sup> during a musical historical period otherwise completely opposed to such texture;<sup>239</sup> the close identification of this process with the autobiographically-charged character of Alwa and throughout the central act of the opera counts greatly in this context.<sup>240</sup>
- Berg also returned to this form only after he had started to use the saxophone as an important obbligato in the last three of his works.<sup>241</sup>
- Berg more or less systematically links use of polyrhythm in this work with use of jazz-related timbres such as saxophone, vibraphone and muted brass, with the effect of pointing up certain passages as most swing-relatable;<sup>242</sup> a close identification of this process with the autobiographically-charged character of Alwa and through the central act of the opera counts greatly in this context.<sup>243</sup>
- The remaining passages of legato coextensive polyrhythm buttress the whole effect.<sup>244</sup>
- If most of the time the connection suggests no more than semi-consciousness on the composer's part, then bars 285-306 particularly stand heightened by the combination of texture and timbre, to an extent that suggests at least a three-quarters level of awareness on Berg's part;<sup>245</sup> the rotating melodic figures at one point additionally point to a degree of awareness;<sup>246</sup>
- The particular form of polyrhythm in Act Two, Scene 1 and up to the middle of Act Two, Scene 2, viewed in relation to a postulated object of swing in line with Harold Bloom's ideas,<sup>247</sup> suggests a 'metonymic' form of relationship,<sup>248</sup>

and a function after that point both as 'hyperbole' and as 'litotes';<sup>249</sup> the two usages thus form a dialectical pairing also in line with Bloom's ideas,<sup>250</sup> in contradistinction to the pairing of 'irony' and 'synecdoche' formed by Berg's use of tripletized crotchet-quaver patterns in the last three of his works.<sup>251</sup>

- Berg enhances a feeling of his interest in legato forms polyrythm as charged with jazz-related significance, by concentrating almost all of this material, in any case pervading a sixth of the whole of Act Two, into the composer's *Lulu-Suite*, as a third of that derivative work.<sup>252</sup>

Especially given the impact of Berg's use of saxophone, the idea of polyrythm in *Lulu* as a response to swing should of course not encourage greater assumptions about generic similarity than the facts actually justify.<sup>253</sup> Separated from the present day by seventy years or more, during which jazz changed from a homespun sound through the suave, Romantically-imbued sonorities of big band music, to the radical fluidity of modern jazz,<sup>254</sup> Berg's languid, polytonal style, decked out with saxophone and muted brass, may have anticipated as much as imitated stages in the development of swing and modern jazz;<sup>255</sup> yet while assessment of the extent of the transformation of jazz in Austria prior to 1932 into a universally lilting music,<sup>256</sup> and of Berg's experience may depend on rare evidence,<sup>257</sup> a library note on Leo Katzele's record that year of a tune 'Mitternacht', as characterized by 'a definite swing element',<sup>258</sup> acts as a reminder – given too the innumerable jazz records destroyed prior to and during the war – that Berg's exposure to a rhythmically flexible environment must by then have risen steeply.<sup>259</sup> Even his precession of later jazz styles may stem from detection of a trend.

**VERDICT ON EVIDENCE, ITEM FIVE:**

As a result, when considered as musical sound and, from the imaginatively-founded perspective of the composer, as musically notated effects in score, the two phases of legato polyrhythm in *Lulu* conduce to a strong sense of possibility verging on a distinct sense of probability that the composer generated the textures as a response to swing, often unconsciously but sometimes with a 'three-quarters' sense of awareness.

**4.6 Berg's swing-relatable use of polyrhythm in the Violin Concerto**

If the use of legato forms of polyrhythm in Berg's *Lulu* comes across as striking, then his use of that form in the Violin Concerto, in terms of proportion of the span of the work and of strategic acoustic function, increases. As shown in Appendix A, whereas legato coextensive polyrhythm affects 7% of the span of *Lulu*, an impressive amount for such a long work, the form affects 10% of the Violin Concerto, with only the 15% in the *Lulu-Suite* surpassing that achievement. In the concerto, Berg follows the more continuous approach to this form of texture as occurring near the end of Act Two, Scene 2 in *Lulu*,<sup>260</sup> thus marking a continuing resurgence of interest in complexity on Berg's part, and a falling-back from the ethos of *Neue Sachlichkeit*.<sup>261</sup> Unlike *Lulu*, in which legato coextensive polyrhythm radiates from a luxurious centre, this bipartite concerto features such textures as an extensive textural support at the start and end of the work: polyrhythm thus continuously marks long passages in the Andante, first subsection of Part One,<sup>262</sup> and in the Adagio, second subsection of Part Two.<sup>263</sup> At the same time, although the work features a number of jazz-relatable 'set-pieces' in terms of harmony and instrumental timbre<sup>264</sup>, use of saxophone, an instrument daringly present in such an elegiac work, diminishes compared to *Der Wein* and *Lulu*.<sup>265</sup> This fact throws any swing-relatable role more completely on the polyrhythmic aspect.<sup>266</sup>

In which case, the statistical facts of the increase in density of polyrhythmic interest in this work, of the continuing rarity of such an approach in the classical sphere during this period,<sup>267</sup> and of the increased sense of triumph of jazz on the world scene by 1935, precisely through the medium of swing music,<sup>268</sup> strengthen the argument for the textural complexity in this work as a sign of Berg's response, particularly in view of the fact that he retains the saxophone as a wraith-like reminder of the approach followed in the earlier works. Accordingly, Berg's use of legato polyrhythm in the Violin Concerto fits well in this context, as a further representation of the principles of defensive adjustment identified by Harold Bloom,<sup>269</sup> by continuing the stage of 'hyperbole'-cum-'litotes',<sup>270</sup> commenced near the end of Act Two, Scene 2 in *Lulu*.<sup>271</sup> The aspect of 'hyperbole' emerges on inspection as represented by Berg's polyrhythm in a texturally more continuous sense, as also prepared for by the fact of his increased reliance on polyrhythm in this work, as a proportion of the span, and as a strategic acoustic function. The aspect of 'litotes' emerges as represented by the fact of Berg's lowering of the sonic profile of the saxophone, as an instrument nevertheless still in evidence, and by his removal of the vibraphone entirely from the orchestral sonority.

Given that, after an opening to Part One of most touching simplicity, Berg launches a polyrhythmic passage, lasting for thirty bars of 2/4 Andante from bar 30 onwards, therefore, the foregoing considerations count greatly as a means by which to assess the nature of rhythmic enlivenment prevalent, in a work in which the sound of the saxophone – though rendered discreet – still proves hauntingly persistent. Insofar as polyrhythm represents the closest approach to the sound of swing available to Berg, the addition to the general legato sound of an element of mezzo-staccato via numerous triplets, as shown in Example 4.32, contributes an element of rhythmically predictable

**EXAMPLE 4.32**

Berg, Violin Concerto, I/1, bars 42-47

[ Andante ♩ = 56 ]

Solo Vn. *mp* (*flautando*)

Ww. *p*

Tbn./Strs. *pizz.* *p*

**EXAMPLE 4.33**

Berg, Violin Concerto, I/1, bars 54-58

[ Andante ♩ = 56 ]

Solo Vn. *mp* (*echo*)

Ww. *f* (*führend*)

Vcls. *f* (*führend*)

Tpt. *mf*

Flzg. *mf*

playfulness, which as an extra, very feather-like quotient of resistance does not hinder a sense of ‘jazziness’. The background legato duplets seem a development of the little outburst of esprit achieved by Berg in *Lulu*, at bars 277-8 from Act Two, Scene 1, as noted earlier.<sup>272</sup> Occasionally, as shown in Example 4.33, the mixture of staccato with legato and an increase in the degree of polyrhythmic complexity intensifies that sense.

The Adagio, fourth subsection of the work, considerably revives the textural function of the Andante, but transformed by a liturgical manner, as shown in Example 4.34; thus, with more expansive kinds of lyrical line, and with the saxophone not obviously in evidence at this point, a connection with the practices of jazz remains by virtue of a

**EXAMPLE 4.34**

Berg, Violin Concerto, II/2, bars 179-181

[♩ = 54]

The musical score for Example 4.34 consists of five staves. The top staff is for Solo Vn. (Violin Solo), followed by Vns. (Violas), Hn. (Horns), Ww. (Woodwinds), and Vcls. (Violas). The tempo is marked as [♩ = 54]. The score shows bars 179-181. The Solo Vn. part features a complex polyrhythmic pattern with triplets and a crescendo. The Vns. part also features a complex polyrhythmic pattern with triplets and a crescendo. The Hn. part features a complex polyrhythmic pattern with triplets and a crescendo. The Ww. part features a complex polyrhythmic pattern with triplets and a crescendo. The Vcls. part features a complex polyrhythmic pattern with triplets and a crescendo.

general rhythmic resemblance that does not undermine the earlier striking effect. As reinforced by the Ellington-like conclusion to the work,<sup>273</sup> this obvious return by Berg to his Romantic origins must retain at least some degree of swing-relatable looseness by way of reflection; yet, at first glance, the importance to the listener of polyrhythm pervading any first impressions of this work, and remaining distinctly in his memory at the end, leaves a gap in the middle, which the stridently swing-relatable treatment of the *Hauptrhythmus*,<sup>274</sup> in the Allegro from Part Two of the concerto, apparently cannot fill enough to enable the work, if sensuous at either end, to rival the effect in Act Two of *Lulu* of the Alwa-related sections, as radiating in a swing-relatable way around the central point of that work.<sup>275</sup> Given the more open, sybaritic use of jazz-related instrumentation in *Lulu*, how much further does the Violin Concerto compare?

In fact, however, Berg has also included elements of legato polyrhythm in the central two subsections of this last-completed work of his, which serve very effectively to link the polyrhythmic looseness at either end, and to couch the abrasive effect of the *Hauptrhythmus* in a subtle, more sympathetic manner. In the Allegro, especially, as the subsection from which the Adagio emerges as an aftermath and yet which contains



**EXAMPLE 4.37**

Berg, Violin Concerto, I/2, bars 169-170

[ Allegretto (♩ = 112) ]  
Solo Vn.

The score for Example 4.37 consists of a violin solo and piano accompaniment. The tempo is marked [ Allegretto (♩ = 112) ]. The violin part is labeled 'Solo Vn.' and features a complex polyrhythmic texture with many triplets. The piano accompaniment provides harmonic support with chords and moving lines.

**EXAMPLE 4.38**

Berg, Violin Concerto, I/2, bars 118-121

[ ♩ = 112 ]  
Vn. solo

The score for Example 4.38 consists of a violin solo and piano accompaniment. The tempo is marked [ ♩ = 112 ]. The violin part is labeled 'Vn. solo' and is marked *p*. The piano accompaniment is marked *p dolce* and features a texture of oscillating notes. A legend indicates 'OSCILLATORY TEXTURE ON CLARINETS'.

tempore sensation by means of polyrhythmic conflict with the solo part, earmarked – not least by inclusion of an *ossia* for saxophone – in the domain of jazz. Furthermore, also very powerfully, a flow of sequential polyrhythm marks the solo part in bars 111-114, as shown in [Example 4.36](#), suggesting an affinity with swing via a ‘speeding-up’ process akin to the ‘petering-out’ at bars 304-6 in *Lulu*, Act Two, Scene 1, as noted.<sup>279</sup>

In this context, even the Allegretto, second sub-section of Part One, assimilates the old-fashioned connotations of ‘minuet’ to the milieu of jazz swing, by exhibiting, as shown in [Example 4.37](#), an occasional propensity for allowing the stilted, semiquaver-marked textures, as found in this sort of music, to proliferate with legato semiquaver triplets in a coextensive polyrhythmic fashion. As shown in [Example 4.38](#), Berg also introduces from bar 118 an unsteadily oscillating interaction on clarinets, immediately



**EXAMPLE 4.39**

Berg, Violin Concerto, I/2, bars 147-149

[ Allegretto (♩ = 112) ]

Tpts./Tbs.  
senza sord.  
*f ritmico*

Hns. senza sord.  
*f ritmico*

relatable to the oscillatory ‘codetta’ music for Variant 1(a) of the Alwa theme in Act Two of *Lulu*, as discussed earlier.<sup>280</sup> The composer thus allows for a sympathetic couching of the dotted rhythms in the tune, which appears on clarinets at bar 104, and in more strident, jazz-like fashion on muted trumpets at bar 147, as shown in [Example 4.39](#); thus, he prevents this link with the *Hauptrhythmus* in Part Two from remaining as isolated as from a simpler rhythmic perspective would appear to pertain. In emerging as in fact somewhat connected through the middle two subsections, the polyrhythmic termini of the Violin Concerto increasingly stand exposed as part of a subtler form of enhancement of the idea of ‘hyperbole’ discussed earlier,<sup>281</sup> in fact as an even stronger example of what Bloom refers to as a ‘Counter-Sublime’, in part a negative kind of response to the triumphant, fashionable ‘Sublime’ of swing music.<sup>282</sup>

**4.6.1 Further issues of rhythmic interconnectedness**

Once considered, an idea of rhythmic interconnectedness in Berg’s Violin Concerto starts increasingly to reveal the extent to which swing-like ‘seepages’,<sup>283</sup> inherent to the way in which polyrhythmic twos and threes interact,<sup>284</sup> find a much deeper form of underlying resonance than in *Lulu*, through the extent to which Berg has – arguably as redolent of his natural submersion by 1935 in the swing phenomenon<sup>285</sup> – woven the metrical components in this work into a highly-tessellated organism; thus, whereas the swing-relatable quality in *Lulu* draws attention by virtue of an extremely harsh

juxtaposition against the impulses of *Neue Sachlichkeit*,<sup>286</sup> and by a very noticeable use of jazz-related timbre, the swing-relatable quality in the Violin Concerto perhaps does not attract attention at all, but instead correlates to other elements throughout the work to form a subconsciously informative event.<sup>287</sup> This possibility raises a question about insights that might flow from a postulate of default metrical identity based not on constituent pulses as dominates the thinking in *Lulu*,<sup>288</sup> but on measure:<sup>289</sup> a switch from 4/4 to 3/4 would thus imply a change not in length of bar but in rate of beat, so that a stipulation that the latter remain unaltered would in actuality constitute a one-quarter increase in tempo. This change of perspective might indicate the way in which polyrhythmic textures reflect a broader process underneath a convulsive surface, and the extent to which polyrhythm may carry a further quantum of swing-related import.

If the idea of a localized metrical perception operating exhaustively in terms of as many as, but no more than five degrees of emphatic strength can find acceptance as a postulate,<sup>290</sup> with Strength 1 as least powerful and Strength 5 as most powerful,<sup>291</sup> and if differentiation remains proven as marking a tendency by listeners to favour points that conduce to the placement of long note values,<sup>292</sup> then parallel sets of duplets and triplets will link Strength 2 pulses 'diagonally' by an implicative tension,<sup>293</sup> as shown:

#### EXAMPLE 4.40

(a)

[The numbers that appear over the notes indicate the varying degrees of long-note placement capability, with '5' as strongest in this respect]

From this premise, the implicative tension of the Strength 2 relationship extrapolates naturally through the power of Strength 3 pulses & Strength 4 pulses,<sup>294</sup> successively:

(b)

Musical notation for example (b) consists of four staves. Each staff contains a sequence of notes with fingerings indicated by numbers 1-5 above them. The staves are labeled with their respective time signatures: 4/4, 12/8, 6/4, and 3/2. The notes are connected by horizontal lines, and diagonal lines connect notes across staves to show relationships between different time signatures.

[The numbers that appear over the notes indicate the varying degrees of long-note placement capability, with '5' as strongest in this respect]

Since each one of the strata produced so far must also enunciate five levels of possible metrical strength exhaustively to fulfil perceptual potential,<sup>295</sup> however, a finer grain of pulses emerges in the '4/4' stratum, in turn producing a '9/4' stratum at the bottom:

(c)

Musical notation for example (c) consists of five staves. Each staff contains a sequence of notes with fingerings indicated by numbers 1-5 above them. The staves are labeled with their respective time signatures: 4/4, 12/8, 6/4, 3/2, and 9/4. The notes are connected by horizontal lines, and diagonal lines connect notes across staves to show relationships between different time signatures. The staves are labeled with their respective dance forms: 'Allemande', 'Gigue', 'Menuet', 'Sarabande', and an unlabeled 9/4 stratum.

[The numbers that appear over the notes indicate the varying degrees of long-note placement capability, with '5' as strongest in this respect]

Further extrapolation leads only to strata rendered precarious by unequally bifurcated segments that also do not fit by repetition into the overall metrical span.<sup>296</sup> The five coextensive strata, as shown, thus entirely define the rule-governed ambiguity of this system, a *fons et origo* for common metrical types.<sup>297</sup> Composers may dress the strata in the note values and the mathematically suitable kinds of key signature preferred, a fact that implies the potential, very much realized, for mundane, rapid temporal levels as running within a generally imperturbable procession of underlying primal spans.<sup>298</sup>

As an abstract of forces in the human intelligence,<sup>299</sup> and arguably the origin of the Baroque dance forms named in Example 4.40(c), this structure imbues the uppermost, 'Allemande 4/4' stratum with an incipient sense of richness, seemingly debarred on the whole to pre-industrial cultures, notwithstanding skills in additive forms,<sup>300</sup> which, according to this scheme, will function – as in the music of Stravinsky or Messiaen<sup>301</sup> – as 'misleading grafts';<sup>302</sup> hence, given an overall margin of temporal limitation to allow for fluctuations,<sup>303</sup> the structure constitutes a post-industrial rationalization of rhythm as a metrical resource, just as the twelve chromatic degrees represent a post-industrial rationalization of pitch as a tonal resource.<sup>304</sup> With long, multi-segmented works such as symphonies, conformity to the impulses prompted by this structure will entail a use of at least two, and preferably at least three different strata, avoiding an omission of any that serve by way of connection, lest a sense of metrical alienation should arise;<sup>305</sup> also, the 'Menuet 6/4' stratum should only occur once in a signal way, as the only one to bifurcate the spans created by neighbouring relationships of metrical Strengths 4 & 5 unequally by Strength 3, and as a result the most unstable.<sup>306</sup>

In which case, as demonstrated by Example 4.41, Berg uses that resource in his Violin Concerto as thoroughly as prudent in a piece of moderate length, in turn highlighting

**EXAMPLE 4.41**

Berg, Violin Concerto,  
as an example of primal metrical segmentation

'Allemande 4/4'

I/1, bar 1  
Andante (♩ = 56)

I/1, bars 47-8  
[Andante (♩ = 56)]

II/2, bar 184  
[Adagio (♩ = 54)]

'Gigue 12/8'

II/2, bar 136  
Adagio (♩ = 54)

I/1, bars 38-39  
Andante (♩ = 56)

II/2, bar 178  
[Adagio (♩ = 54)]

'Menuet 6/4'

I/2, bar 114  
[Allegretto (♩ = 112)]

'Sarabande 3/2'

II/1, bar 35  
[Allegro (♩ = 69)]

II/1, bar 28  
[Allegro (♩ = 69)]

I/2, bar 104  
Allegretto (♩ = 112)

'9/4'

II/1, bar 4  
[Allegro (♩ = 69)]

IMPLICIT

EXPLICIT

FURTHER EXAMPLES

**EXAMPLE 4.42**

Brahms, Symphony No. 4 in E minor,  
as an example of primal metrical segmentation

'Allemande 4/4'

I, bars 1-2

[Allegro non troppo]



I, bars 20-21

[Allegro non troppo]



III, bars 8-9

[Allegro giocoso]



'Gigue 12/8'

I, bars 121-2

[Allegro non troppo]



III, bars 17-18

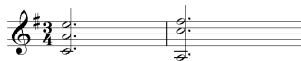
[Allegro giocoso]



'Menuet 6/4'

IV, bars 1-2

Allegro energico e passionato



IV, bars 41-2

[Allegro energico e passionato]



'Sarabande 3/2'

II, bar (5)

[Andante moderato]



II, bar (74)

[Andante moderato]



IV, bar 113

*espressivo*



'9/4'

II, bar (37)

[Andante moderato]



IMPLICIT

EXPLICIT

FURTHER EXAMPLES

the power of Brahms's Fourth Symphony, a work that also displays such a degree of mastery,<sup>307</sup> as shown in Example 4.42. Berg thus acquired by the time of composing his Violin Concerto a sense of organic metrical balance rivalling Brahms,<sup>308</sup> perhaps as a result of falling-in during the 1920s to some extent with the vogue for a rigid neo-classicism, which soon proved uncongenial,<sup>309</sup> and so continued a metrical tradition stretching back through that composer, to Beethoven and to Bach.<sup>310</sup> In this sense, Berg's Violin Concerto surpasses his second opera *Lulu* in creating a primal sense of organic metrical interrelation,<sup>311</sup> due to the fact that the earlier work downgrades the '12/8' stratum, which the composer relegates to triplets used for legato polyrhythm in 4/4 passages, and to virtually inaudible triplets for upper woodwind that race against the 2/4 hurly burly in Act Three, Scene 1, from bar 261,<sup>312</sup> and upgrades triplets in rapid 3/4, a form only of primal meaning if interpreted as a remote implication of the '9/4' stratum, via 2:1 distortion at the '*Menuet 6/4*' stratum,<sup>313</sup> with passages such as from bar 637 in Act Two, Scene 1, as accompanying Lulu's terror in the face of arrest.

According to this view, the '*Allemande 4/4*' and '*Gigue 12/8*' strata stand for the main planes of rhythmic activity of rapid-to-moderate and slow-to-moderate jazz, not excepting 2:1-like nuances that 'seep' across during polyrhythmic interaction of the two:<sup>314</sup> just as the 2:1 of slow-to-moderate jazz finds a manifest form of codification in crotchet-cum-quaver alternations available in compound time,<sup>315</sup> so, less obviously but perhaps no less powerfully, a con brio patter of semiquavers possesses a force for swing-like 'corruption' in the polyrhythmic abyss that lies so readily available underneath.<sup>316</sup> Insofar as the metrical Strengths 1 & 2 that function in the system do not – as defining swing-like relationships in the most primitive sense – seem affected by broader levels of transmutation arising from the conditions thereof,<sup>317</sup> the meaning

of rapid jazz swing emerges in these terms as the scope in the '*Allemande 4/4*' stratum for extension of the first notional 'semiquaver' in each pair,<sup>318</sup> as a form often missing from the pure classical styles of Haydn and Mozart,<sup>319</sup> the '*Gigue 12/8*' thus emerges as the crucial way in which composers may broker questions of metrical enrichment.

Particularly with Berg's incorporation of the '*Gigue 12/8*' into the fabric of his Violin Concerto, as shown above,<sup>320</sup> the picture emerges of a web of potential complexity that can justify polyrhythmic sets of two against three not only as the source of exotic, subliminally jazz-like nuances,<sup>321</sup> but – as seems difficult to accept as a structural fact in *Lulu* however valid in principle the underlying linkages – also as a simultaneous correlation with the '*Allemande 4/4*' stratum, as implicitly linked to rapid jazz swing. Berg thereby achieves over and above his negotiated approach to polyrhythm towards the end of Act Two, Scene 2 in *Lulu* a condition of reactive adjustment towards swing that merits Harold Bloom's description as a 'movement towards [an enriched form of polyrhythmic interaction as] a personalized Counter-Sublime, in reaction to [jazz swing as] the precursor's Sublime';<sup>322</sup> this notion fits well with André Hodeir's view of swing, as the most sublime manner of expression ever achieved by jazz musicians:

It is certainly true that the hot manner of playing – and the element of tension that comes from it – is the most accessible side of jazz. But the manifestation of swing can give a great deal more joy to the person who is no longer insensitive to it than the most torrid performance. Thanks to swing, jazz has marvellously transcended its rhythmic monotony. What might have been a hopeless weakness has become its fundamental strength. There is in swing a portion of that admirable madness that can be glimpsed behind the loftiest attainments of contemporary art.<sup>323</sup>

In *Lulu*, Berg attempts in an extremely complex way to subordinate natural impulses through the artificialities of metrical modulation,<sup>324</sup> in the Violin Concerto, he relaxes with metrical logic, as available through the line of Bach, Beethoven and Brahms.<sup>325</sup>



To the extent that Berg expands his use of polyrhythm vastly in *Lulu* compared to *Der Wein*, returning to an approach more characteristic of his earlier works,<sup>326</sup> and yet establishing the possibility in a saxophone-haunted context of mitigating an approach to the swing music then in the ascendant, therefore, that opera comes across, no matter if effectively, as carved into textural 'slabs'. To the extent that in Act One Berg avoids major textural excursions into the zone of fluidity prevalent in Act Two,<sup>327</sup> to the point of highlighting in the broader, architectonic sense an arguable overemphasis on the painter, as a figure whose suicide under pressure from a character called Schön no doubt acts as a reference to the fate of the painter Richard Gerstl,<sup>328</sup> he does not give the listener any cause to wonder at a deeper level at which the 'slabs' may interrelate. With the Violin Concerto on the other hand, *pro rata* with a work much shorter than *Lulu*, an even greater concentration of polyrhythmic interest, if in tandem with a use of the saxophone in a modest, less 'iconic' way, arouses curiosity not inconsiderably.

Given such considerations, the tripletized crotchet-quaver patterns on clarinets at bars 30-1 in the Andante – shown in Example 4.43 and noted previously<sup>329</sup> – emerge as a decreasingly disputable fingerprint of jazz-indebtedness, woven with greater textural

#### EXAMPLE 4.43

Berg, Violin Concerto, I/1, bars 30-32

[ Andante (♩ = 56) ]

The musical notation shows a single staff for Clarinet (Cls.) in treble clef. The key signature has two sharps (F# and C#). The tempo is marked as Andante with a quarter note equal to 56 beats per minute. The music consists of six measures. The first measure starts with a piano (*pp*) dynamic. The second measure is marked *dolciss.* (dolcissimo). The notation features several triplet patterns, indicated by a '3' over a bracketed group of notes. A large slur encompasses the first five measures, and a smaller slur covers the final two measures. The notes are primarily eighth and sixteenth notes, with some beamed sixteenth notes.

reciprocation than any example in *Lulu* in an ensuing polyrhythmic passage of thirty-two bars; truly a flag for the Swing Era. The increased feeling of 'tempo-relatedness' created in this work by Berg's unprecedented use of organic rhythmic relationships,<sup>330</sup>

and the contemporaneous lowering of tempo in jazz meet roughly on a stylistic par, and provide a platform for parallel display even enough to reduce the threshold of imputation further;<sup>331</sup> the work thus represents tendencies in Berg's style that continue to converge on tendencies in jazz as represented by the success of Benny Goodman at the same historical point.<sup>332</sup> If Berg's use of saxophone in this concerto conveys the jazz-possessed spirit of the age in a more wraith-like way compared to the preceding two works, then the sense of swing-like fluency arises more strongly in compensation.

#### **4.6.1 A general verdict on Berg's use of polyrhythm in the Violin Concerto**

##### **EVIDENCE OF BERG'S RESPONSE TO SWING, ITEM SIX:**

As an interrelated entirety, therefore, the two phases of legato polyrhythmic interest in Berg's Violin Concerto emerge as relevant for consideration as a form of evidence of his response to the 2:1 lilt characterizing the swing in jazz on the following grounds:

- The legato polyrhythmic effect stands heightened on account of acute cultural sensitivities as the closest form of proximity to the swing in jazz available for non-satirical purposes in classical music.<sup>333</sup>
- Berg returns to this form, which he had used without such possibilities of association earlier in his career, during a musical historical period otherwise completely opposed to such texture.<sup>334</sup>
- He also returned to this form only after he had started to use the saxophone as an important obbligato in the last three of his works.<sup>335</sup>
- The particular form of polyrhythm viewed in relation to the postulated object of swing suggests a function both as 'hyperbole' and as 'litotes',<sup>336</sup> in line with the ideas of Harold Bloom;<sup>337</sup> usage in this work enhances the function encountered in Act Two, Scene 2 of *Lulu*,<sup>338</sup> as dialectically paired also with

the 'metonymic' function encountered in Act Two, Scene 1,<sup>339</sup> and thus in contradistinction to the dialectical pair of 'irony' and 'synecdoche' formed by Berg's use in his last works of tripletized crotchet-quaver patterns.<sup>340</sup>

- Although playing down the effect of jazz instrumentation in relation to the use of polyrhythm, Berg imbues this work with polyrhythm even more and even more continually *pro rata* than he does in *Lulu*;<sup>341</sup> in the context of the previous developments that have arisen, and in the localized context of the Concerto as a work that renews an awareness of jazz instrumentation and harmonization at a number of significant points that separate the main polyrhythmic interest,<sup>342</sup> the effect as a whole comes across as more engaging in this respect, as tending by means of a maximization of primal metrical linkages towards a 'Counter-Sublime', again according to Bloom's definition.<sup>343</sup>

#### **VERDICT ON EVIDENCE, ITEM SIX:**

As a result, when considered as musical sound and, from the imaginatively-founded perspective of the composer, as musical notated effects in score, the passages of legato polyrhythm in the outer movements of Berg's Violin Concerto conduce to a strong sense of possibility verging on a distinct sense of probability that the composer generated the textures as a response to swing, if not with a great degree of awareness.

#### **4.6 Endnotes for Chapter Four**

- (1) See page 46 above.
- (2) See pages 3-5, 12, 31-2 above.
- (3) See pages 9-10, 105-7 above.
- (4) See pages 101-8 above.
- (5) For Beethoven, see Sonata in F minor, Op.2, No. 1, second movement, bars 37-42; for Mozart, see Sonata in F, K.332, first movement, bars 49-50; for pre-

classical music, see Frederick Neumann's view on the invalidity of consigning early examples of coextensive polyrhythm to the idea of binary-derivable approximations, in 'Conflicting binary and ternary rhythms: from the theory of mensural notation to the music of J.S. Bach', *New essays on performance practice* (Rochester, NY, 1989), pp.35-64.

- (6) See George S. Bozarth & Walter Frisch, 'Brahms, Johannes', *NG2*, IV, pp.188-9.
- (7) See Malcolm Macdonald, *The master musicians: Brahms* (London, 1990), p.403.
- (8) See *ibid*, pp.410-17
- (9) See Arnold Schoenberg (1947), trans. 'Brahms the Progressive', *Style and Idea: selected writings of Arnold Schoenberg*, ed. Leonard Stein.
- (10) See Bozarth & Frisch, 'Brahms', p.181.
- (11) See pages 105, 131 above.
- (12) André Hodeir, *Jazz: its evolution and essence* (London, 1958), p.216-7.
- (13) See pages 84, 87-8 above.
- (14) As in Bruckner, Symphony No. 8, first movement, from bar 18.
- (15) Arnold Schoenberg (1946), trans. 'Criteria for the evaluation of music', *Style and Idea*, ed. L. Stein, p.131.
- (16) See pages 12, 52-3 above.
- (17) See pages 52-4 above.
- (18) See page 52 above.
- (19) For example, in the passage from bar 52 in the finale of Beethoven's Seventh Symphony.
- (20) See Anders Friberg & Andreas Sündstrom, 'Swing ratios and ensemble timing in jazz performance: evidence for a common rhythmic pattern, 2002. In *Music Perception*, 19(3), (2002), pp.337-341.
- (21) Hodeir, *Jazz*, p.202.
- (22) See Friberg & Sündstrom, 'Swing ratios and ensemble timing in jazz', pp.346-7.
- (23) Anne Shaw Faulkner (1921), 'Does jazz put the sin in syncopation?', *Keeping time*, ed. Robert Walser, p.34.
- (24) *Ibid*, p.35.
- (25) See Ex.3.23, page 103 above.

- (26) See page 74 above.
- (27) See Gunther Schuller, *The Swing Era: the development of jazz, 1930-1945* (New York, 1989), pp.16-17.
- (28) See page 106 above.
- (29) See Frank Tirro, *Jazz: a history* (London, 1977), pp.10-11, 26.
- (30) Hodeir, *Jazz*, pp.230-1.
- (31) *Ibid*, p.237.
- (32) Barry Kernfeld. 'Beat', *NGDJ*, Vol.1, p.86.
- (33) Hodeir, *Jazz*, pp.206-209.
- (34) See pages 61-2, 84-5, 86 above.
- (35) See pages 52-3 above.
- (36) See page 142 above.
- (37) See pages 74-5 above.
- (38) Obviously, as with the first of the *Trois nouvelles etudes* by Chopin, a slower tempo will counteract this feeling of vagueness.
- (39) See page 107 above.
- (40) See page 143 above.
- (41) See page 85 above.
- (42) See Igor Stravinsky and Robert Craft, *Stravinsky in conversation with Robert Craft* (Harmondsworth, Mdx. UK, 1962), p. 86.
- (43) See pages 46, 140 above.
- (44) See page 140 above.
- (45) From an extensive if not exhaustive survey of fifteen leading composers in the inter-war years, including Berg, Copland, Hindemith, Honegger, Janacek, Prokofiev, Ravel, Schoenberg, Stravinsky, Milhaud, Webern, & Zemlinsky.
- (46) See page 142 above.
- (47) See Derrick Puffett, 'Berg and German opera', *The Berg companion*, ed. Douglas Jarman, pp.102-112.
- (48) For example: in Op. 4, No. 4, bars 15-22; in Op. 6, No. 2, bars 101-2; in *Wozzeck*, Act Two, Scene 1, bars 70-75.
- (49) See Nils Grosch, 'Neue Sachlichkeit (Ger: 'new simplicity', 'new objectivity')', *NG2*, XVII, pp.781-2: the author uses terms such as 'simplicity', 'anti-ornamental', 'anti-Romantic' in connection with Krenek, Weill, Hindemith, Schoenberg, Ernst Toch, Max Brand, & Georges Antheil.

- (50) See Section 3.2.1.1 above.
- (51) For example: a great deal of coextensive polyrythm in non-legato form in the *Sinfonietta*, Op. 4 (1916); virtually no polyrythm of any kind in works composed after 1920.
- (52) For example, see T.W. Adorno, trans. *Alban Berg: master of the smallest link* (Cambridge, 1968), p.89.
- (53) Antony Beaumont, *Zemlinsky* (London, 2000), pp. 41-2.
- (54) See examples given in *ibid*, p. 327-31.
- (55) *Ibid*, p. 326.
- (56) See *ibid*, p.376: 'Even if the music of [Zemlinsky's opera of 1930-32,] *Der Kreiderkreis* includes more *couleur locale* than [his earlier operas,] *Sarema* or *Der Zwerg*, this is very much a picture-book China: a stylized bird-call, a melancholy flute tune, the occasional boom of a gong – little more. The same goes for the element of jazz in his score. Despite saxophones, banjo, hi-hat and tom-toms, this is no minstrel show, and Zemlinsky makes no conscious effort to 'swing'. When his orchestra does break into dance rhythm, the music is stylized to the point of classicality, far removed from the jazz-inspired musical comedies of Paul Ábrahám, Walter Kollo and Eduard Künnecke popular at the time, or indeed from the shimmies and tangos of Krenek and Weill'. See also the examples in *ibid*, p.174.
- (57) See *ibid.*, p.324.
- (58) Notably in *Verklärte Nacht, Gurrelieder, Pelleas und Melisande*, String Quartet No. 2, Op.10.
- (59) Beaumont, *Zemlinsky*, pp.321, 326.
- (60) See *The Larousse encyclopaedia of music*, ed. Geoffrey Hindley, p.371.
- (61) See esp. No. 2, bars 168-72.
- (62) See Adorno, *Alban Berg*, p.89.
- (63) See the second movement from bar 1; even this outbreak of antediluvian tendencies relies heavily on repeated, non-legato notes.
- (64) See T.W. Adorno, trans. *Philosophy of modern music* (New York, 1973), pp.73-6.
- (65) Grows abruptly and permanently more simple in rhythm after the composer's adoption of twelve-tone technique in his *Two Songs*, Op. 19 (1925).
- (66) See Adorno, *Alban Berg*, p.89.

- (67) See Wally Horwood, *Adokphe Sax, 1814-1897: his life and legacy* (Bramley, Herts. UK, 1980), p.161.
- (68) See *ibid*, p.161.
- (69) See *ibid*, pp.22, 64-5, as regards Sax's intentions *vis à vis* a major transformation of military band music
- (70) Not least given Debussy's own description of the saxophone as 'that aquatic instrument'; cited in *ibid*, p. 149.
- (71) See *ibid*, p.149.
- (72) See page 47 above.
- (73) See pages 19-20, 151-2 above.
- (74) See page 36 above.
- (75) See Adorno, *Alban Berg*, p.115.
- (76) See Ex.3.34, pages 131-2 above.
- (77) See Appendix A.
- (78) See page 150 above.
- (79) See George Perle, *The operas of Alban Berg, Volume 2, Lulu* (Berkeley Ca, 1985), Chapter 2.
- (80) During the 'Monoritmica' in Act One, Scene 2, from bar 669.
- (81) In *Lulu*, Act Two, Scene 1, from bar 40.
- (82) See: Mosco Carner, *Alban Berg: the man and his work* (London, revised 1985), pp.244-5; Perle, *The operas of Alban Berg, Volume 2, Lulu*, p.59.
- (83) See Douglas Jarman, *The music of Alban Berg* (London, 1979), pp.171-3.
- (84) See Adorno, *Alban Berg*, p.130.
- (85) See *ibid*, pp.121-5.
- (86) See Act Two, bars 682-92.
- (87) See Act Two, Scene 1, bars 507-15, 519-35.
- (88) See Act Three, Scene 1, from bar 708; from bar 730.
- (89) See Act One, Scene 2, from bar 967; from bar 981.
- (90) See Act Three, Scene 2, from bar 1315.
- (91) See Adorno, *Alban Berg*, pp.7, 115.
- (92) Up to bar 70, and from bar 71 [*Lulu-Suite numbering*].
- (93) Act Two, Scene 1, from bars 243, 281, 298, 319.
- (94) Act Two, Scene 1, bars 507-15, 519-35.
- (95) Act Two, Scene 2, from bar 1004.

- (96) Act Two, Scene 2, from bar 1021.
- (97) Act Two, Scene 2, from bar 1097.
- (98) Act Two, Scene 2, from bar 973.
- (99) Act One, Scene 3, from bar 1020.
- (100) Act Three, Scene 2, from bar 927.
- (101) See Adorno, *Alban Berg*, p.130; Perle, *The operas of Alban Berg, Volume 2, Lulu*, p.59.
- (102) A casual inspector of the musical score will only see disparately parallel duplets and triplets.
- (103) As an antidote to the naïve sense of 'epistemology' that may arise from a view of Berg's Three Orchestral Pieces, Op. 6 as 'Mahlerian', see Derrick Puffett, 'Berg, Mahler and the Three Orchestral Pieces Op. 6', *The Cambridge companion to Berg*, ed. Anthony Pople, p.143: even the author's comment that 'the use of 'orthodox' – read 'trivial' – material, whether military or otherwise, is another Mahlerian touch' emerges on inspection as fragile and insinuating, at least in real scientific terms.
- (104) As a good – and honourable – example in a thoroughgoing encounter with this type of situation, see Robin Holloway, *Debussy and Wagner* (London, 1974), *passim*.
- (105) See Kevin Korsyn, 'Towards a new poetics of musical influence', *Music Analysis*, 10/1-2, 1991, pp.3-72.
- (106) See pages 105-6 above.
- (107) See Korsyn, 'Towards a new poetics of musical influence', from p.6.
- (108) See *ibid*, p.16: 'Why have I chosen to map Brahms's misreading [a term of Harold Bloom's] of Chopin? One must begin somewhere, and yet my first step is not wholly arbitrary. Brahms may have felt a special anxiety towards Chopin'.
- (109) See Appendix A.
- (110) See Harold Bloom, *A map of misreading* (New York, 1975), Chapter 5, esp. p.80.
- (111) For example, for the 'reversionary ratio' corresponding to the linguistic trope of 'irony', the term '*clinamen*', for the 'ratio' corresponding to 'synecdoche', the term '*tessera*', and for the 'ratio' corresponding to 'metonymy', the term



- 'kenosis'; see Harold Bloom, *The anxiety of influence* (London, 1973), pp.14-5.
- (112) See Section 3.2.2 above.
- (113) See Bloom, *A map of misreading*, p.84.
- (114) See Bloom, *The anxiety of influence*, pp.14-5.
- (115) See page 9 above.
- (116) See Bloom, *The anxiety of influence*, p.6.
- (117) See page 122 above.
- (118) See Bloom, *A map of misreading*, p.84.
- (119) See Bloom, *The anxiety of influence*, pp.14; Bloom, *A map of misreading*, p.84.
- (120) See pages 118-20 above.
- (121) Bloom, *The anxiety of influence*, pp.14-5
- (122) See Bloom, *A map of misreading*, p.84.
- (123) See Pierre Boulez, trans. 'Lulu', *Pierre Boulez: orientations (selected writing)*, ed. Jean-Jacques Nattiez, p.381.
- (124) See letter from Berg to T.W. Adorno of 25/01/27, Vienna, trans. in *Theodor W. Adorno & Alban Berg: correspondence, 1925-1935*, ed. Henri Lonitz, p.95.
- (125) See pages 141-2 above.
- (126) See Giselher Schubert, 'Hindemith, Paul', *NG2*, XI, p.523.
- (127) As marginally occurs, for example, in the finale of Hindemith's Symphony, *Mathis der Maler* (1934).
- (128) Stravinsky & Craft, *Stravinsky in conversation with Robert Craft*, pp.44-5.
- (129) See pages 150, 152, 158 above.
- (130) See Act One, Scene 1, bars 156-97.
- (131) See Act One, Scene 1, bars 367-400.
- (132) See Act One, Scene 2, bars 416-57.
- (133) See Act One, Scene 2, bars 489-530.
- (134) See Act One, Scene 2, bars 587-614, 641-665.
- (135) See the 'Monoritmica' in Act One, Scene 2, bars 669-957.
- (136) See Act One, Scene 3, bars 992-1020, 1040-1093, 1155-1168.
- (137) See Act One, Scene 3, bars 1306-1355.
- (138) See Act One, Scene 2, e.g., bars 536-8, 541-3.
- (139) See Act One, Scene 3, e.g., bars 1126-7, 1130-4.

- (140) See Act One, Scene 3, bars 1178-1298.
- (141) See Jarman, *The music of Alban Berg*, p.216.
- (142) See pages 130-1 above.
- (143) See Bloom, *A map of misreading*, p.84.
- (144) See *ibid*, p.84.
- (145) See Jarman, *The music of Alban Berg*, pp.215-6.
- (146) Especially on account of the profiling at I, bars 49-52, during Lulu's entry at the central climax of the prologue, and as conveyor of winsomely insouciant melody of the Canzonetta from I/1, bar 257.
- (147) See Boulez, 'Lulu', p.391.
- (148) George Perle, *The operas of Alban Berg, Volume 2, Lulu* (Berkeley Ca., 1982).
- (149) See *ibid*, p.47.
- (150) See Act Two, Scene 1, from bar 250 & from bar 287.
- (151) See page 166 above.
- (152) See Act Two, Scene 1, the passage from bar 338 marked 'Tumultuoso'; See also Perle, *The operas of Alban Berg, Volume 2, Lulu*, p.47.
- (153) From notes 1, 2, 4, & 6 of Alwa's series; see Perle, *The operas of Alban Berg, Volume 2, Lulu*, p.97.
- (154) See *ibid*, p.73.
- (155) See pages 150, 166 above.
- (156) See pages 143, 149 above.
- (157) See pages 96-7, Ex. 3.16 above.
- (158) See page 160 above.
- (159) See page 165 above.
- (160) See pages 150, 152 above.
- (161) See page 142 above.
- (162) See page 148 above.
- (163) English National Opera, London Coliseum, 28/05/02.
- (164) See page 148 above.
- (165) See pages 74-5 above.
- (166) See James Lincoln Collier, *Duke Ellington* (London, 1987), pp.114-5.
- (167) See pages 74-5 above.
- (168) See bars 39-40 as numbered in the Lulu-Suite.
- (169) Hodeir, *Jazz*, p.33-4, 145.

- (170) Act Two, Scene 1: on muted trumpet, bars 302-4; muted horn, bars 304-6.
- (171) See Ex. 4.13, page 175 above.
- (172) See Section 4.1 above.
- (173) See pages 3-4, 6, 12 above.
- (174) See pages 165, 172-3, Table 4.3 above.
- (175) See pages 165, 172-3, Table 4.3 above.
- (176) See pages 172-3 above.
- (177) See Perle, *The operas of Alban Berg, Volume 2, Lulu*, p.73.
- (178) See pages 124-5 above.
- (179) See pages 124-5 above.
- (180) See Act Two, Scene 1, from bar 338: long sections marked 'Tumultuoso' and 'Furioso'.
- (181) See Table 4.2 (page 164) above.
- (182) See pages 130-1, 167 above.
- (183) See page 90 above.
- (184) See page 180 above; compare Tables 4.3 (page 172 above), 4.5 (page 185 above).
- (185) See Ex. 4.16.
- (186) See pages 165, 172-3 above.
- (187) See Ex. 4.12.
- (188) Compare Ex. 4.12.
- (189) See pages 160-3 above.
- (190) Compare Ex. 4.13.
- (191) Compare Table 4.3 (page 172), Table 4.5 (page 185) above.
- (192) See pages 186-9 above.
- (193) Compare: Table 4.2 (page 164 above); Table 4.4 (page 184 above; compare with the general state of affairs as indicated in Section 3.1, esp. pages 88, 93-6 above.
- (194) See page 106 above.
- (195) See pages 165, 175
- (196) See pages 160-3 above.
- (197) See pages 160, 162 above.
- (198) See pages 186-9 above.
- (199) On Freud's views on repression, see Bloom, *The anxiety of influence*, p.107-9.

- (200) See Bloom, *A map of misreading*, p.84.
- (201) See *ibid*, p.84.
- (202) See *ibid*, p.97-105.
- (203) See *ibid*, p.84.
- (204) See pages 161-2 above.
- (205) See Bloom, *A map of misreading*, pp.88, 92-3.
- (206) See pages 90-1 above.
- (207) See Act Two, Scene 2, from bar 1110.
- (208) See Act Two, Scene 2, from bar 1102.
- (209) See pages 44-5 above.
- (210) For a good impression of a proto-swing band with brass regularly playing without mutes, hear Casa Loma Orchestra, on CD, HEP 1010, *Casa Loma Stomp: the Casa Loma Orchestra*, passim; see pages 5-6 above.
- (211) See Act Two, Scene 2, from bar 1112.
- (212) See pages 163, 165-6 above.
- (213) See pages 154, 166, 174 above.
- (214) See pages 155-9 above.
- (215) See Table 4.1 (pages 157-8 above).
- (216) See page 166 above.
- (217) See page 166 above; compare Table 4.1 (pages 157-8 above).
- (218) See Perle, *The operas of Alban Berg, Volume 2, Lulu*, p.51; See Adorno, *Alban Berg*, p.129.
- (219) See Act Three, Scene 1, from bar 564.
- (220) See Robn Holloway (1979), cited in Perle, *The operas of Alban Berg: volume two, Lulu*, p.149.
- (221) See Adorno, *Alban Berg*, p.129-30.
- (222) See *ibid*, p.127-9.
- (223) See Table 4.1 (pages 157-8 above).
- (224) E.g. Schön's solo, 'Das mein Lebensabend' in Act Two, Scene 1, from bar 40; see Ex. 2.14 (page 55 above), Table 4.1 (pages 157-8 above).
- (225) See Adorno, *Alban Berg*, p.107.
- (226) See *ibid*, pp.127, 131.
- (227) See pages 130-2, 140-1, 156-8, 159 above.
- (228) See Jarman, *The music of Alban Berg*, pp.245-8.

- (229) Initial statement of the 'Lautenlied' in Act Three, Scene 1, from bar 102; set of variations follows as the interlude to Act Three, Scene 2, from bar 692.
- (230) See Willi Reich, trans. *The life and work of Alban Berg* (London, 1965), p.176.
- (231) Compare: Act Three, Scene 2, bars 1068-95; Act One, Scene 2, bars 747-89.
- (232) See pages 67-9 above.
- (233) See Reich, *The life and work of Alban Berg*, p.176.
- (234) From correspondence by Berg to conductor Erich Kleiber, no date given: 'Now that I can see [the opera *Lulu*] as a whole, I am more than ever convinced of its lofty moral significance. There is a perfect balance between *Lulu*'s rise and fall...'; cited in John Russell, *Erich Kleiber: a memoir* (London, 1957), p.143.
- (235) In this connection, variously in Act Three, Scene 2, from bar 1175.
- (236) See page 186 above.
- (237) See pages 140-9 above.
- (238) See page 140 above; Appendix B.
- (239) See Section 4.3 above.
- (240) See page 155 above.
- (241) See pages 140, 150, 153-4 above.
- (242) See pages 155, 159, 163 above; Table 4.2 (pages 164-5 above); Table 4.3 (page 172 above); Section 4.4.1.2; Table 4.4 (page 184 above); Table 4.5 (page 186 above).
- (243) See Section 4.4.1.2, esp. pages 155, 178-9, 179-80 above.
- (244) See: Table 4.1 (pages 157-8 above); page 166 above; Section 4.4.3.
- (245) See: Section 4.4.1.2; pages 175, 177-8, 179-80 above.
- (246) See pages 177-8, 179-80 above.
- (247) See pages 160-1, 162, 163, 190-1 above.
- (248) See pages 160, 161, 162, 190 above.
- (249) See page 190 above.
- (250) See page 190 above.
- (251) See pages 160, 161, 162, 163 above.
- (252) See page 156 above.
- (253) See pages 4-6, 12-16 above.
- (254) See Tirro, *Jazz*, pp.232-8, 263-9.

- (255) See page 3 above.
- (256) See pages 4-6, 105-6, 113 above.
- (257) See: [Section 1.1](#); pages 30-35, 113 above; of some continuing interest in this context lies the possibly exceptional occurrence of a genuine implantation of jazz swing style in a classical work, in the dotted rhythms, syncopations etc obviously used to evoke a piano stride style, acutely observed, in 'Black Bottom', an instrumental and choral vignette occupying bars 357-595 in *Maschinist Hopkins*, the hit modernist opera of 1928 by Max Brand; Berg stood on the selection jury for works that would feature at the festival of the *Algemeine Deutsche Musikverein* in Duisberg, July 1929, and expressed prescient admiration for *Hopkins*, as a work that arguably influenced his own opera *Lulu*; Berg may have felt impressed, not only by the length of this jazz-related vignette, but also by the candid impact, in an otherwise 'respectable' work of musical art, of the loose rhythmic interpretation; see Clive Bennett, 'Maschinist Hopkins: a father for *Lulu*?', *Musical Times*, Sept 1986, pp.481-84.
- (258) Ref. visit to British Library, London, 28/05/02.
- (259) See pages 5, 30, 35, 105-6, 113 above.
- (260) See [Section 4.4.2.2](#).
- (261) See pages 159, 166, 167, 174, 193 above.
- (262) I/1, bars 35-46, 54-61.
- (263) II/2, bars 173, 177-183, 189-93; also in sequential polyrhythmic form at bars 223-7.
- (264) See pages 40-3, 112 above.
- (265) See page 153 above.
- (266) See pages 165, 185-6, 190 above.
- (267) See [Section 4.3](#).
- (268) See pages 113-4 above.
- (269) See page 160 above.
- (270) See pages 190, 200 above.
- (271) See: [Section 4.4.2.2](#); page 201 above.
- (272) See Ex. 4.10 (page 171 above).
- (273) See pages 41-3 above.
- (274) See pages 111-4 above.

- (275) See pages 156-8, 166, 193, 199 above.
- (276) See Section 3.2.1.1.
- (277) See page 112 above.
- (278) See pages 108-110 above.
- (279) See pages 179-80 above.
- (280) See: Exs. 4.13, 4.14 (pages 174-8 above); Ex. 4.24 (page 189 above).
- (281) See esp. pages 190-1, 193 above.
- (282) See page 113 above.
- (283) See pages 147, 149 above.
- (284) See pages 147-9 above.
- (285) See pages 105-6, 113-4 above.
- (286) See: Table 4.1; pages 156-8, 166-7, 193-8 above.
- (287) See Bloom, *A map of misreading*, pp.31-2.
- (288) Although the principle of metrical modulation vastly enriches Berg's control of his rhythmic texture and flow in *Lulu*, as noted and commented on in Jarman, *The music of Alban Berg*, see especially p.169, that opera contains many instances that serve the composer perfectly happily with a unit-for-unit transfer, such as Act One, Scene 1, bars 155-6, Scene 2, bars 488-9, 498-9, 586-7, plus the entire 'Monoritmica' section; in the Violin Concerto, by way of marked contrast, this simple approach only occurs with the reprise of the Carinthian folk tune at II/2, bar 201.
- (289) David Epstein approaches this possibility in his idea of 'proportional tempo'; see *Shaping time: music, the brain and performance* (New York, 1995), pp.97-107; compare also the 'Principle of Metric Equivalence' advanced in Grosvenor Cooper & Leonard B. Meyer, *The rhythmic structure of music* (Chicago, 1960), pp.22-24; in *Lulu*, an emphasis on integrity of pulse tends to undermine the occurrences of integrity of measure, as in Act One, Scene 3, at bars 1274-5.
- (290) As many as five, to ensure a means of accounting for the richness of metrical experience; no more than five, to accord with phenomena short enough simply to strike the listener as 'metrical'.
- (291) The principle of continuous differentiation stands as an axiom in this context, with each pulse point of any strength finding regard – whether confirmed acoustically or not – as of differing strength and importance from each pulse

point of any strength immediately on either side; compare Fred Lerdahl & Ray Jackendoff, *A generative theory of tonal music* (Cambridge Mass., 1985), *passim*.

- (292) See findings summarized in Christopher S. Lee, 'The perception of metrical structure: experimental findings and a model', *Representing musical structure*, ed. Peter Howell, Robert West & Ian Cross, p.63.
- (293) See Eugene Narmour, *Beyond Schenkerism: the need for alternatives in music analysis* (Chicago, 1977), p.184.
- (294) Covering the phenomena of 'Hispanic 6/8' and the Baroque use of hemiola.
- (295) This issue solely concerns the quotient of real or imaginary phenomena that the human subject will feel – in his or her 'gut' – as 'metrical', as opposed to elements of rhythmic marginalia such as even-numbered demisemiquavers.
- (296) From the immediate top, '3/4+2/4', from the immediate bottom, '3/2+3/4'. '3/4+2/4' naturally links in with leisurely form of syncopated music such as the second main theme from Gesrhwin's *Rhapsody in Blue*, but only seems to connect to more usual, hectic forms related to Caribbean rhythms by way of implicative bifurcation; likewise Bartók's use of Bulgarian 2/8+2/8+2/8+3/8 only connects with '3/2+3/4' in this way. Accordingly, implicative bifurcation seems to prevail as a secondary metrical principal that also governs, or at least connects to the fact of rapid forms of 9/8, or tripletized 3/4, in relation to the primal '9/4' stratum. The next stratum further above the '3/2+2/4' stratum nevertheless emerges as '3/16+3/16+3/16+3/16+2/16+2/16', the type that governs such Latin-related music as the Pearl & Dean company theme loved by British cinema-goers, and thus the point at which modern popular music connects directly with the primal metrical framework.
- (297) For example: 'Allemande 4/4' as 4/4, 2 x 2/4, etc; 'Gigue 12/8' as 12/8, 2 x 6/8, etc; 'Menuet 6/4' as 6/4, 2 x 3/4, etc; 'Sarabande 3/2' as 3/2, slow 3/4, etc; '9/4' as slow 9/8.
- (298) Thus a steady underlying rate of 20 primal spans per minute would allow for a dressing-up of the 'Allemande 4/4' stratum with a 'molto vivace' 2/4 at  $\text{q} = 160$ .
- (299) The force lies within the creative attractiveness of strong implicative ambiguities.



- (300) See John Storm Roberts, *Black music of two worlds* (London, 2<sup>nd</sup> edit. 1973), pp.8-9, 11; as regards the obviously limited use of 2-versus-3 coextensive polyrhythm in this kind of cultural sphere, see *ibid*, p.34.
- (301) Re Stravinsky, see Section 2.1.3.1, esp. page 62 above; also Boulez, trans. 'Stravinsky remains', *Pierre Boulez: orientations (selected writing)*, ed. Jean-Jacques Nattiez, *passim*; re Messiaen, see Robert Sherlaw-Johnson, *Messiaen* (London, 1989), Chapter 4.
- (302) 'Misleading grafts' function in a manner akin to a stylus skipping during the playing of a gramophone record, as thus explained in the present writer's presentation, 'Further ideas on the possibility of a unifying 'Ur-meter' (Hull UK, March 2006); this phenomenon also includes the extrapolations described in endnote IV(296).
- (303) The primal sense of tempo generated by enunciation of the underlying paradigmatic spans may vary in a single work by a quickest-to-slowest ratio of up to 3:2; inter-opus comparisons suggest an absolute divergence of up to 3:1, however, suggesting a grouping of works into categories based on the four Cardinal Humours, as described in *sub verbo* 'Humour', *NEB*, 15<sup>th</sup> Edit., VI, p.145.: thus 'choleric' centred at 25-35 spans per minute; 'sanguine' at 20-30; 'phlegmatic' at 15-25; 'melancholic' at 10-20; see endnote IV(298).
- (304) Unlike the rationalization of pitch, of course, the rationalization of rhythm has remained unguided by the brute limitations of instrument manufacture.
- (305) Arguably a sense of metrical 'alienation' will afflict any major work that – as with Mozart's 39<sup>th</sup> Symphony – binds an '*Allemande* 4/4' stratum and a '*Menuet* 3/4' stratum together, without any connection via an intervening '*Gigue* 12/8' stratum; in the First Piano Concerto of Brahms, by contrast, the composer avoids this sensation by introducing passages of quaver triplets into the rapid 2/4 of his finale.
- (306) This point raises a question as to whether Mozart in his 39<sup>th</sup> Symphony and Beethoven in his Eighth Symphony create a generally unbalancing effect by using the '*Menuet* 6/4' stratum as the basis for two separate movements.
- (307) Brahms impresses us, of course, by juggling the full range of metrical options; even more importantly, however, he reserves the '*Menuet* 6/4' stratum for the finale, so holding creatively at bay the potentially destabilizing element summarized on page 210 above.

- (308) See Appendix C as regards the variable picture created by Berg's oeuvre as a whole up to this final work; Berg – as with his colleagues Schoenberg and Webern, and as with the post-1945 avant-garde at a much later stage of style development – seems during the earlier, expressionistic period especially to have succumbed to the idea of rhythmic enrichment as a kind of numerical excursus; as regards the idea of primal tempo variability as outlined in endnote IV(303), Berg's Violin Concerto varies across a range of 13-22 spans per minute, and falls as a result into the 'melancholic' Humour; see Appendix C.
- (309) See page 152 above.
- (310) Bach's facility in this respect in his '*French Suites*' calls for no further comment; perhaps of even greater interest lies the astounding facility of Beethoven in his symphonies, concerti, quartets and sonatas in general, with the 'Eroica' as an especially fine example.
- (311) See Appendix C.
- (312) See Ex. 4.29 (page 195 above).
- (313) In rapid forms of 9/8, or 3/4 governed by quaver triplets, pulses 2, 6, 8, 12, 14 & 18 from each double set of nine carry no primal significance in the terms described; thus those notes may stand as elements of rhythmic figuration, but, as with even-numbered demisemiquavers at the '*Allemande 4/4*' stratum, lack the ability to hit the listener 'at gut level', so to speak; see endnote IV(295).
- (314) See pages 147-9 above.
- (315) 'Compound time' of course also includes the use of tripletized patterns in 4/4 and 2/4; but – as implied in endnote IV(313) – not in 3/4.
- (316) 'Abyss' perhaps characterizes the pure classical attitude, towards a space nevertheless full of possibilities: for the general 'classical' sphere, obviously all of the metrical types suggested; for the jazz sphere, the two uppermost strata for the two main tempi, plus the occasional intrusion of the '*Menuet 6/4*' stratum, as at bar 27 of 'Moonlight Serenade'; also note the old jazz practice of tempo 'doubling' and 'halving' as described in James Lincoln Collier, *Jazz: the American theme song* (New York, 1993), pp.84-7.
- (317) The phenomenon of 'Hispanic 6/8' probably represents the most well-known example; an important example resides, of course, in the hemiola manoeuvre at the ends of phrases in Baroque minuets; see endnote IV(294); and, given the potential allowed through the idea of primal tempo variability as outlined in

endnote IV(302), Beethoven clearly explores such potential with a transformation of the 'Ode to Joy' theme in the finale of his Ninth Symphony, from the 'Allemande 4/4' stratum represented by the original version, via the 'Gigue 12/8' stratum represented by the 'Alla marcia', in which quaver triplets abolish the original accompanying effect created by quaver duplets, to the 'Menuet 6/4' stratum represented by an overt 2:1 distortion of the original tune in the 'Allegro energico, sempre ben marcato'.

- (318) In the ragtime/jazz sphere, of course; but also in the general 'classical' sphere with the Old French practice of *notes inégales*; see David Fuller, 'notes inégales', *NGI*, XIII, pp.420-7.
- (319) See endnote IV(305).
- (320) See Fig. 4.2 (page 211 above).
- (321) See pages 143-4, 147-9 above.
- (322) See Bloom, *The anxiety of influence*, p.15; see also page 190 above.
- (323) André Hodeir, *Jazz*, p.233.
- (324) See Jarman, *The music of Alban Berg*, p.169; also see endnote IV(288) above.
- (325) See: Table 4.3; endnote IV(310).
- (326) See: page 140 above; Appendix B.
- (327) See pages 156-8, 166, 193 above.
- (328) See Beaumont, *Zemlinsky*, pp.164-6; also see page 197 above; in the present writer's view, the question of overemphasis would hinge not so much on the number of scenes that draw the painter importantly into the action, but on the heavy, philosophical elaboration arising – whether in the text or in the musical treatment or both – from the 'Er weiss es nicht' dialogue by the painter with Lulu, which commences after the Doctor's demise in Act One, Scene 1, at bar 305; the pompous sense of fatuity exhibited by the painter in Scene 2 suggests the mind of a person who indeed may end up cutting his own throat, but only through a disillusionment that would depend on a lack of prior enlightenment.
- (329) See pages 126-9 above.
- (330) See Appendix C.
- (331) See pages 132, 140, 152-3, 200 above.
- (332) See page 113 above.
- (333) See: page 142 above; Sections 4.1, 4.2.
- (334) See Section 4.3.

- (335) See pages 46-8, 153 above.
- (336) See pages 190, 202 above.
- (337) See page 160 above.
- (338) See pages 190, 200 above.
- (339) See pages 160, 190, 199?? above..
- (340) See pages 161, 190 above.
- (341) See: page 201 above; Appendix A.
- (342) See pages 112, 204 above.
- (343) See page 190 above.

**– CHAPTER FIVE –**  
**THE EVOLUTION OF BERG'S**  
**'STYLE OF SECOND SENSUOUSNESS'**

At this stage, an ability to view the swathes of legato polyrhythm in Berg's *Lulu* and Violin Concerto as a response to the increasingly ubiquitous fact of 2:1 lilt in jazz depends on the lack of two-against-three complexities in *Der Wein*,<sup>1</sup> a work that uses a minimum in the composer's output after a decline from the Three Orchestral Pieces, Op. 6 and *Wozzeck*,<sup>2</sup> as stated in Appendices A & B, the most suitable way to gauge proportions of a work affected by legato coextensive polyrhythm for the purpose of comparisons, has emerged not in the number of bars, an extremely variable medium, nor in the time of performance, which may not represent the level of the composer's engagement, but in the number of pervaded lines of musical score, which, if a little rough and ready, at least deals with a unit appreciably likely to 'fill-up' with notated attention.<sup>3</sup> The great importance of *Der Wein* draws attention to the specifics under examination as 1) coextensive sets of twos or fours against threes, in which at least one part lies marked as legato,<sup>4</sup> and 2) an enunciation thereby of only a moderate kind of tempo, to ensure that the listener engages with the musical fabric and feels affected by a clear 2:1-like 'seepage';<sup>5</sup> thus, the breakneck cascade of triplets against binary-type syncopations from bar 112 in 'The Wine of Lovers', the scherzo-like central part of *Der Wein*, does not involve the sort of complexity that will cause any engagement.<sup>6</sup>

If, hypothetically, Berg had woven an amount of legato polyrhythm in a texturally appreciable form into *Der Wein*, and into the two main works prior to that one, more on a par with the Three Orchestral Pieces, Op. 6 and *Wozzeck*, on the one hand, and *Lulu* and the Violin Concerto, on the other hand, and had maintained a consistent line

of approach to this aspect, then the idea of viewing the twos against threes in the last works as a response to swing would inspire no confidence, even when considered as a stylistic historical anomaly.<sup>7</sup> In which, case, all prospect of relating the polyrhythm in those works to swing would hinge on whether Berg's manner of textural approach had changed in a way that might appear significant. In fact, the need to consider whether his approach changed does not arise, given the much lower use of legato coextensive polyrhythm in the Chamber Concerto, *Lyric Suite* and concert aria, *Der Wein*, when compared to the works that precede and follow these three;<sup>8</sup> the high proportion of polyrhythm in the twelve-tone resetting by the composer of the poem, '*Shliesse mir die Augen beide*' calls for no remark, in view of the slightness of duration and musical import.<sup>9</sup> Curiosity nevertheless persists – unsurprisingly – about Berg's manner of approach towards polyrhythm during the earlier part of his career, given the prospect of strengthening an impression of swing-relatedness already made possible to pick up, for differences in the composer's earlier and later approaches will stand at a premium.

Testimony about Berg having in some way changed his stylistic approach by the time of writing *Lulu* comes from George Perle, who gives the following succinct account:

Between *Wozzeck* and *Lulu*, Berg's musical language was transformed. A radical departure in style and technique was already evident when he took up his pen again after the completion of his first opera. From a letter to his wife we can see that he began his next work, the Chamber Concerto for Piano and Violin and Thirteen Wind Instruments, within a few weeks of the private publication of the vocal score of *Wozzeck* in January 1923. In Berg's oeuvre the Chamber Concerto represents – as do the Serenade and the Suite for Piano in Schoenberg's and the String Trio in Webern's – a turn towards a more objective, more 'classical' style, consistent with the aim that motivated Schoenberg's formulation of the twelve-tone system...<sup>10</sup>

Somewhat oddly by way of introduction to a major study of *Lulu*, however, this writer draws attention, appropriately, in effect to the forces of *Neue Sachlichkeit*, with which the second of Berg's operas contends,<sup>11</sup> without going on to mention the element of

voluptuousness. The dramaturgical importance of legato polyrhythm in this work has clearly eluded him.<sup>12</sup> With T.W. Adorno, however, the truth grows easier to discern:

Of all of Berg's works the *Lyric Suite for String Quartet*, next to *Wozzeck* and the Violin Concerto, has become the best known. If there is any truth to Kierkegaard's precept that one must be seduced by truth, then the *Lyric Suite* is the test; there is no work that shapes its resources with more seductive power and yet without once making dishonest stylistic concessions or imposing external constraints for the sake of polish or euphony. Loyalty to appearance elevates rigor itself to a structural principle; so inexorable is Berg's demand for consistency of appearance, indeed, for the effectiveness of everything which appears, that the result is a new compositional criterion as binding as that premised upon absolute material integrity, with which, in the end it coincides. That is why the *Lyric Suite* leads to the world of *Lulu* and to Berg's late style as a style of second sensuousness.<sup>13</sup>

Despite the fact that the description of the *Lyric Suite* following this passage lacks any mention of polyrhythm,<sup>14</sup> for Adorno to combine the idea of 'sensuousness' with the idea of 'shaping' resources suggests that he at least subconsciously has in mind other questions than ones related to harmonic euphony,<sup>15</sup> or to the use of the string quartet sonority, arguably in this context a decorous anticipation of the saxophone sonority.<sup>16</sup> Adorno's reference to 'shapes' thus suggests the idea of polyrhythmic twos against threes, just as 'sensuousness' suggests legato enunciation.<sup>17</sup> In this passage, therefore, the idea that Berg's *Lyric Suite* adumbrates a return in *Lulu* and the Violin Concerto to his earlier fondness for legato polyrhythm finds veiled, decipherable confirmation.

Likelihood of any investigation of this issue exposing a change of approach on Berg's part arises from the astonishing degree of incongruence of these two citations: Perle can hear and appreciate the impact on Berg of the forces of *Neue Sachlichkeit*, starting with his Chamber Concerto, but remains oblivious to the composer's return to polyrhythm by the time of writing *Lulu*; Adorno, can at least subconsciously sense in the *Lyric Suite* the presence and the future importance of a legato polyrhythmic impulse, in retreat but indestructible, but remains disinclined in other work of his to

acknowledge the influential power of neo-classicism over the Chamber Concerto.<sup>18</sup> To judge by the remarkable differences of perspective represented by these passages, an attempt to define what the latter writer has above referred to as Berg's 'style of second sensuousness', by comparison with an assumable 'style of first sensuousness', may on the one hand expect to find the residual polyrhythmic element in the Chamber Concerto as backward-looking, a remnant of Berg's former approach, and on the other hand to find the residual polyrhythmic element in the *Lyrical Suite* as forward-looking, an anticipation of the approach that the composer would follow later on, in the 1930s. Interestingly, the clear juncture of stylistic intent separating the two works coincides with the moment, recorded by Adorno,<sup>19</sup> when Berg changed his attitude towards jazz.

### **5.1. Use of legato polyrhythm in the works of Berg's 'first style'**

In 1907, as an enthusiastic young composer and aesthete, Berg wrote about the newer ideas in psycho-morality to Frida Semmler, an American girl who during the previous summer had accompanied her family as a guest at the country residence of his family on the Ossiachersee.<sup>20</sup> In that letter, Berg puts the case for 'sensuality' unequivocally:

You have sharp eyes, dear Miss Frida! This trait is at work in all new art. At last we have come to the realization that sensuality is not a weakness, does not mean a surrender to one's own will. Rather it is an immense strength that lies in us – the pivot of all being and thinking. (Yes; all thinking!) In this I am declaring firmly and certainly the great importance of sensuality, for everything spiritual. Only through the understanding of sensuality, only through a fundamental insight into the 'depths of mankind' (shouldn't it rather be called the 'heights of mankind'?) can one arrive at a real idea of the human psyche.<sup>21</sup>

The task of unveiling any polyrhythmic form of connection with this youthful affinity of Berg's nevertheless does not prove straightforward in the earliest main three of his works.<sup>22</sup> Although these works undoubtedly exemplify a 'style of first sensuousness', in terms of tonal relationships, an abundant love of legato and of lyrical melodic line, a sensitive attitude towards instrumentation, and constant willingness *vis à vis* rhythm



**EXAMPLE 5.1**

Berg, Sonata, Op. 1, bars 24-29

[ MaBig bewegt ]

24 *ff* *dimin.*

27 *e rit.* *etc.*

to explore intricacies, interest in legato coextensive polyrhythm emerges as slight, and surprisingly so, above all, for an associate of Schoenberg.<sup>23</sup> The Piano Sonata, Op. 1 opens the series of Berg's oeuvre promisingly, by exhibiting a polyrhythmic trait that, as shown in [Example 5.1](#), conforms clearly to the idea of influence by Brahms; but the Four Songs, Op. 2, if still Brahms-like from a use of left-hand octaves,<sup>24</sup> introduce a period of decline in polyrhythmic traits.<sup>25</sup> Radical developments in this work remain confined to the monotone anticipations of *Hauptrythmus* technique in the central two songs, as noted earlier,<sup>26</sup> and to traces of colouristic instability with the passage in the last song, in which, at bars 5-6, the piano hauntingly evokes the song of a nightingale.

This decline continues in Berg's String Quartet, Op. 3, insofar as a use of legato coextensive polyrhythm almost only ever occurs in this work as a hectic combination of duplet-triplet semiquavers, usually with staccato admixtures.<sup>27</sup> Ironically, given Adorno's well-justified opinion of the work as the first example of mature creativity on the composer's part,<sup>28</sup> the rhythm otherwise consists of binary-related assertions. Since Berg's quartet dates from 1910, the same year as Schoenberg's Five Orchestral

**EXAMPLE 5.2**

Berg, String Quartet, Op. 3, bars (0)-(9)

Langsam

The musical score for Example 5.2 consists of four staves. The top staff is Violin I, the second is Violin II, the third is Viola, and the fourth is Cello/Double Bass. The tempo is marked 'Langsam'. The score begins with a 6-measure slur in the Violin I part, marked *f*. The Viola and Cello/Double Bass parts have a 3-measure slur marked *pp*. The Violin II part has a 6-measure slur marked *p*. The score continues with various dynamics and slurs, ending with a *mf* dynamic in the Cello/Double Bass part.

Pieces, Op. 16, a work marked by a legato coextensive polyrhythm resurgent in the midst of a lag in that composer's interest,<sup>29</sup> the irony only grows: Schoenberg's return to such textures in an acerbic stylistic context as regards timbre and tonality, during a period in which Berg temporarily retired from such an approach, might have led an observer to expect an opposite stylistic outcome to the one that occurred.<sup>30</sup> The long, languid approach by Berg, to the cadence at bar 9 in the first movement of his quartet, nevertheless consists, as shown in Example 5.2, of music rendered extraordinary in a work, otherwise given to stilted 1:1 subdivisions, by an evidently prescient fascination for rhythmically lilting processes, readily performed too with slackened proportions.<sup>31</sup>

Even in the *Altenberg Leier*, Op.4, of 1912, a work often cited as exhibiting a gentle, sensuous aura,<sup>32</sup> Berg generally avoids a use of legato coextensive polyrhythm. If his

**EXAMPLE 5.3**

Berg, *Altenberg Lieder* [Five Orchestral Songs] Op. 4, No. 4, bars 14-21 [WHICH, AS A SPECIAL POLYRHYTHMIC CONFIGURATION, SUBSEQUENTLY CHARACTERIZES BERG'S OEUVRE THROUGH THE GENERATION OF TWO SUBSIDIARY TEMPLATES: (A) DESCENDING; (B) OSCILLATORY]

*wieder zurückhalten, langsam* (A) As the Descending Polyrhythmic Template

(B) As the Oscillatory Polyrhythmic Template

Trombones *con sord.*

introduction to the first song owes much to the scintillating opening to Schoenberg's *Gurrelieder*,<sup>33</sup> then an important difference lies in a total lack in the later passage of the appreciable twos against threes in the earlier one; and yet, at bar 14 in the fourth of Berg's songs, the composer introduces an effect so idiosyncratic and consequential as to merit entitlement as his Special Polyrhythmic Configuration; in which, as shown in Example 5.3, four clarinets enunciate a descending polyrhythmic passage in legato fashion, then settle at bar 18 into an oscillating polyrhythmic passage, which at bar 20 transfers to muted trombones. The descending segment and oscillating segment of this configuration separately provide important templates, for specific utilization in Berg's later works, and for a more general priming of his approach, as far more inclined

towards legato coextensive polyrhythm than hitherto. Astonishingly for a writer often poised on the brink of appreciating this aspect of Berg's music, Adorno overlooks the event completely: for, in describing the work in not inconsiderable detail, he traces the music up to bar 15, breaks off to generalize, then resumes his account from bar 22.<sup>34</sup>

As perhaps a reflection of the concluding bars to Schoenberg's *Erwartung*, and also of early interest shown by Berg in Debussy,<sup>35</sup> as famously represented by the sequential polyrhythmic solo for flute that opens the *Prélude à l'après-midi d'un faune*, the two segments nevertheless mark an act of great originality on Berg's part:<sup>36</sup> with regard to creating an effect of 'gurgling' towards an abysmal terminus with the descending segment, and of ineffable metrical 'suspension' with the oscillatory segment. From the perspective developed in the course of the present study, the segments correspond clearly to passages encountered in *Lulu*: for the descending segment, the Geschwitz-related palindrome passage from Act Two, Scene 2;<sup>37</sup> and for the oscillatory segment, the passage used as the basis of the 'codetta' music to Variants 1 (a) & (b) of Alwa's Theme, as featured in Act Two in Scenes 1 & 2;<sup>38</sup> naturally, the Geschwitz-related palindrome draws an ascending segment out of the descending one.<sup>39</sup> Unsurprisingly, therefore, various works composed by Berg during the interim also emerge as marked by a use of one or other of these polyrhythmic templates; and – insofar as both of the templates convey an unmistakable, if often disreputable sense of voluptuousness<sup>40</sup> – a study of the use of the templates in works prior to the simple approach introduced by the Chamber Concerto seems germane in helping to define the nature and historical span of Berg's 'style of first sensuousness', as perhaps contrasted to his 'second' one.

As regards the descending polyrhythmic template, as not featured in the Four Clarinet Pieces, Op. 5, or in the Three Orchestral Pieces Op. 6, except in brutalized form as the

**EXAMPLE 5.4**Berg, *Wozzeck*:**(a)** Act One, Scene 2, bars 204-5

[ Sehr langsam (♩ = 42-48) ] CLARINETS, BASSOONS & MUTED BRASS

The musical score for Example 5.4(a) consists of three staves. The top staff is in treble clef, the middle in alto clef, and the bottom in bass clef. The key signature has one sharp (F#). The tempo is 'Sehr langsam' with a quarter note equal to 42-48 beats. The dynamics are marked with [p]. The score features a descending melodic line in the top staff, a complex rhythmic pattern in the middle staff, and a descending bass line in the bottom staff. There are several triplet markings (3) throughout the piece.

**(b)** Act Two, Scene 5, bars 739-741

[ Sehr langsam (♩ = ca. 50) ] WORDLESS MALE CHORUS AS SNORING SOLDIERS

The musical score for Example 5.4(b) consists of three staves. The top staff is in treble clef, the middle in bass clef, and the bottom in bass clef. The key signature has one sharp (F#). The tempo is 'Sehr langsam' with a quarter note equal to approximately 50 beats. The dynamics are marked with [p]. The score features a descending melodic line in the top staff, a complex rhythmic pattern in the middle staff, and a descending bass line in the bottom staff. There are several triplet markings (3) throughout the piece.

basis of the climax to the 'Marsch',<sup>41</sup> several important examples feature in *Wozzeck*. At the start of Act One, Scene 2, and by way of recapitulation at the start of Act Three, Scene 5, Berg uses the descending segment, as shown in Example 5.4, as a disintegration of the 'chord of nature',<sup>42</sup> by which he conjures up, in the first case, the oppressively close atmosphere that surrounds Wozzeck and his comrade Andres while out in the evening, gathering firewood for the regiment, and in the second case, as a version for wordless male chorus, the impenetrable minds of soldiers snoring in their barracks. In both of these examples, a feeling of collapse links the irrational effect of legato coextensive polyrhythm to the idea of sensuality, taken in the sense ascribed previously by Berg – cited above<sup>43</sup> – as a force rising from 'the depths of mankind'.<sup>44</sup>

As shown in Example 5.5, a further, more articulate example occurs in Act One, Scene 2, from bar 233, which more plainly evokes states of depression and madness;<sup>45</sup> and, as shown in Example 5.6, the disintegrative connotations clearly established in the course of this scene spill out across the zone of invention, in this case by allowing

**EXAMPLE 5.5**

Berg, *Wozzeck*, Act One Scene 2, bars 233-236

[ langsam, ♩ = 48-54 ]

Wozzeck

*mp* *f*

Da rollt - A - bends ein Kopf!

Hn. *p* *dim.*

Bel. *p* B.D.

Vlas. *p* *pp*

Db. solo *p* *dim.*

**EXAMPLE 5.6**

Berg, *Wozzeck*, Act One, Scene 2, bars (238)-241.

Sehr ruhig [ ♩ = 48-54 ]

Wozzeck

Drei Ta - ge und drei Nach<sup>te</sup>drauf, und er liegaufdenHo bel spanen.

Obs. *pp* *p* *4:3*

Hp. *p*

(Vns.) *p*

Tbn. *p* Vns. *p*

Cor ang. *p*

Vcls. *p*

Tba. *p*

Berg to allude to the second of Schoenberg's Five Orchestral Pieces, as cited earlier.<sup>46</sup> At a time when that composer had finally abandoned polyrhythm,<sup>47</sup> Berg thus affirms that in this respect he has taken over the creative torch from his erstwhile mentor, freely developing a dissolute form of connotation: thus near the end of the opera, in Act Three, Scene 4, a much broader idea of dissolution allows Berg to anticipate the Geschwitz-related palindrome in *Lulu*,<sup>48</sup> using the descending template in a derived, ascending form to evoke waters of the pool swirling over the drowning protagonist.<sup>49</sup> As a result, the first segment of the Special Polyrhythmic Configuration contributes strikingly to the sound-world in *Wozzeck*, so stamping Berg's style during this period

As regards the oscillatory polyrhythmic template, a sense of differentiation starts to emerge: for, whereas the descending template relates to a dramaturgical orientation on Berg's part of more-or-less depressive character, the inherent springiness that marks oscillatory phenomena permits varying shades of animation to grow apparent; thus, if the original oscillatory segment in the *Altenberg Lieder* comes across as morbid and sluggish,<sup>50</sup> then a strong sense of lyrical expansiveness pervades the version of that type that makes up the little trio section in the third of the Four Clarinet Pieces, Op. 5, shown in [Example 5.7](#).<sup>51</sup> In approaching the lighter physical impact of the examples in *Lulu*, this passage shows the original *Altenberg* segment as similar, but at the same time crucially dissimilar. To the extent that increased similarity to the later style may appear significant, however, the oscillatory passage – as for a template not used in the Three Orchestral Pieces, Op. 6, except in non-legato form as a basis of the percussion-based opening and close of the 'Präludium'<sup>52</sup> – that occurs in Act Three, Scene 4 of *Wozzeck*, after the waters have closed over the protagonist, sounds still more animated compared to the example from Op. 4, but at the same time, as shown in [Example 5.8](#),

**EXAMPLE 5.7**

Berg, *Four Clarinet Pieces*, Op. 5, No. 3, bars 9-13

Langsame Viertel (♩ = 42-46)

*ppp legatissimo*

*pp*

*Leg. Leg.*

*Leg. Leg. Leg. Leg.*

*Rit.*

*sehr lang*

*sehr lang*

**EXAMPLE 5.8**

Berg, *Wozzeck*, Act Three, Scene 4, bars (301)-305

[ Nicht schleppend, ♩ = 80 ]

Fl.

*p*

Clas.

*pp*

Hrn.

Strs. con sord.

*pp*

more naturalistically dense and inscrutable. This fact highlights the oscillatory music in Berg's 'second style' as more likely to engage the listener's faculties of attention.<sup>53</sup>

In the meantime, the composer has not simply remained content with a striking form of textural innovation. In all of the works following his *Altenberg Lieder*, Op. 4, he seems to have taken these specific templates of polyrhythmic mannerism as a general kind of template for the freedom with which the creative impulse may approach twos



**EXAMPLE 5.9**

Berg, Four Clarinet Pieces, Op. 5, No. 1, bars 1-5

MaBig (♩ = ca. 76)

*p* leicht *poco rit.* *schwerer* *pp*

*p* *poco cresc.* *Rit.* *mehr begleitend* *cresc.* *espress.* *cresc.* *mf*

against threes as a continuing textural resource. As shown in [Example 5.9](#), not least, the Four Clarinet Pieces, Op. 5 open in a manner of perhaps purposeful differentiation from the opening, and most of the main body, of the previous work.<sup>54</sup> From this point in Berg's oeuvre, as shown in Appendix B, the amount of legato coextensive polyrhythm in general rises steeply, quickly climbing to an all-time high in the Three Orchestral Pieces, Op.6.<sup>55</sup> As shown in [Example 5.10](#) & [Example 5.11](#), the 42% of that work that features these kinds of textures includes material that shows Berg at his most inventively able. In the Three Orchestral Pieces, Op. 6, especially in 'Reigen',<sup>56</sup> therefore, as a rise to a scale of polyrhythmic operation evidently more congenial to Berg, this impulse develops into a profusion of textural interactions, a factor by which the work stands established as a *ne plus ultra* in terms of general textural complexity.

Additionally, that inventive ability on Berg's part encompasses a suddenly profuse interest in tripletized crotchet-quaver patterns.<sup>57</sup> As to some comparable extent a form

**EXAMPLE 5.10**

Berg, Three Orchestral Pieces, Op. 6, bars 14-19

*Etwas fließender* *poco rit.* *Wieder fließender*

14 Hns. *con sord.* *pp* *dolciss.*

17 *etwas zurückhalten* *sempre pp*

**EXAMPLE 5.11**

Berg, Three Orchestral Pieces, Op. 6, bars 101-103

[ Crotchet triplets as original *Langsamer Waltztempo*

101 *mf* Hns. *Cl.* *p espr.*

*immer dimin.* *Tbns./Tba.* *ppp*

*Vlns./Cls.* *mf*

*Vcls./Dbs.* *pp*

103 *Fls./Cel.* *pp*

*Hns.* *pp*

[Vns.] *pp*

*Tbn.* *p espr.*

**EXAMPLE 5.12**

Berg, Three Orchestral Pieces, Op. 6, No.1 ('Präludium'):

(a) bars 6-7

[Langsam]  
Bn. *p* (betont) *poco*

(b) bars 29-33

Wieder bewegter  
Bn. *pp* *p* *pp* *p* *cresc.* *p*

**EXAMPLE 5.13**

Berg, Three Orchestral Pieces Op. 6, No. 2 ('Reigen'), bars 35-49

[Langsamer Waltztempo]  
35 Fl. *p* Cls. *pp* 4 Hns. *mf* espress. Vcl. (+Db.) pizz. *pp*  
40 (Fls.) (Fl. solo) Cl. *pp* Bns. *pp* Vns.2 *pp* Vcl. solo *p*  
45 (Cl.) Hns. *pp* (Vns.2) *pp* Vcl. solo *pp* *f* (2 Fls.) *pp*

that features in the Four Clarinet Pieces, Op. 5,<sup>58</sup> several examples occur in the Three Orchestral Pieces, Op. 6, as shown in Examples 5.12, which amply deserve note, no doubt as waltz-relatable,<sup>59</sup> yet as gaining an autonomous level of stylistic meaning in this radicalized context: thus preparing the ground for a swing-relatable *objet trouvé*.<sup>60</sup> As particularly shown by Example 5.13, this situation demonstrates very effectively the truth of regarding that form as capable of assimilation within a polyrhythmic context.<sup>61</sup> In the reprise at bar 98 of 'Reigen' of the 'saucy' little shape on oboe first heard at bars 24, on the other hand, Berg anticipates the approach shown in the second

### EXAMPLE 5.14

Berg, Three Orchestral Pieces, Op. 6, No. 2 ('Reigen'), bars (94)-(101)

[ Langsamer Waltztempo ]

2 Piccs. *p*

Obs./Hns. *mf* (minus Obs.)

'Lautenlied' variation in Act Three of *Lulu*,<sup>62</sup> by allowing his tripletized crotchet-quaver patterns to obtrude satirically, as shown in Example 5.14, so clearly choosing this shape cryptically to represent the harlot in *Reigen*, the play by Arthur Schnitzler.<sup>63</sup>

Especially with the Three Orchestral Pieces, Op. 6, the picture starts to take shape of Berg establishing his 'style of first sensuousness' as heavily associated with a use of legato coextensive polyrhythm, but disparately, 'centrifugally' so, so to speak; so the composer's use of the templates provided by the Special Polyrhythmic Configuration forms the disconnected underlay to only a vaguely connected range of polyrhythmic approaches, from the relatively conservative ones that draw on an association with Brahms, to extremely wild ones that fit with the idea of musical 'expressionism'. Berg

**EXAMPLE 5.15**

Berg, *Wozzeck*, Act Two, Scene 1, bars 69-71

[ Allegro leggiero, ♩ = 90 ]

69 Marie

*f* Und doch - - hab' ich ei - nen so ro - ten Mund als die

E♭ Cl. *f*

Vns. *f*

Hn. *pp*

(Vns.) *pp*

(Hn.) *pp*

**EXAMPLE 5.16**

Berg, *Wozzeck*, Act Two, Scene 2, bars 326-7

bedeutend langsamer und molto rubato

326 Hauptmann

*vib.* Ub - ri - gens, — ein paar Lip - - pen!

(Tpt.)

Vns. *mp*

Vcls/Dbs. *p* Col. 8<sup>va</sup>

327

Oh, Fls./Picc.

(Tpt.) *mf*

Vlas. *f*

Hp. *f*

**EXAMPLE 5.17**

Berg, *Wozzeck*, Act Three, Scene 3, bars 278-284

[ Nicht schleppen, ♩ = 80 Hauptzeitmaß ]

Wozzeck

278 klagend

Weh! Weh!

Vns. *ff* Vlas./Vcls. *ff*

Cls. *f* Hns. *poco f (p)* *meno f (pp)*

Dbns. *f* Tbnns./Tba. *f*

281

Ich wa - sche mich mit Blut - das

Vcls./Dbns. *f* *mf*

Bns. *ff*

283

Was - ser ist Blut - Blut -

Strings

continues with this picture in *Wozzeck*, as a work that falls back from the amount of legato coextensive polyrhythm compared to the Three Orchestral Pieces, but that ever proves ready in the interests of dramatic effect for an expressively complex turn.<sup>64</sup> In any case, the 10% of legato coextensive polyrhythm in *Wozzeck* stands impressively in such a long work, a quality that – as with in *Lulu*, a very long work pervaded to a like extent<sup>65</sup> – the composer draws most into one of the acts, as a way of evoking a state of complete dissolution: 14% in Act Two of *Lulu*, to do with the principal male's love; likewise, 13% in Act Three of *Wozzeck*, to do with the principal male's death.<sup>66</sup>

Accordingly, in addition to the examples that show an adherence to the templates of the Special Polyhythmic Configuration, a number of examples occur in *Wozzeck* that illustrate the disparate explorations of Berg, with regard to the gamut of possibilities, from an influence by Brahms,<sup>67</sup> to a strong sense of expressionistic adventure:<sup>68</sup> thus, as shown in Example 5.15, a comparative attachment to the polyhythmic world of Brahms in the exquisitely scored, rhythmically muddled passage, that accompanies Marie's yearning fantasies about wealth in Act Two, Scene 1, while meditating on the earrings gained as a result of her seduction by the Drum Major; thus more superficially, as shown in Example 5.16, the 'bar-bound' species of polyrhythm that Berg uses in Act Two, Scene 2, for the purposes of satire,<sup>69</sup> at the point at which the Captain reminisces – in music designed, to evoke the operatic manner of Richard Strauss and Franz Schreker<sup>70</sup> – about his experience of sexual pleasure as a means of taunting the protagonist who has fallen victim to cuckoldry; and by contrast thus, as shown in Example 5.17, Berg's poignant use of tripletized crotchet-quaver patterns to tail off the 'Wir arme Leut'' motive from bar 136 in Act One, Scene 1, at the moment in Act Three, Scene 3, in which the protagonist drowns. The rising, then falling curve

of textural interest described by the development of Berg's approach to the oscillatory polyrhythmic template underpins these examples in an especially 'centrifugal' way.<sup>71</sup>

### 5.1.2 The Chamber Concerto as a stylistic interregnum

Immediately after the completion of *Wozzeck*, as the earlier citation by George Perle makes clear,<sup>72</sup> Berg struck out in a new stylistic direction, with the composition of his Chamber Concerto. On the other hand, as T.W. Adorno points out,<sup>73</sup> that work does not represent the start of the composer's 'style of second sensuousness'; nor, either, can the work count for inclusion in his 'first style',<sup>74</sup> not only on account of a continuing reduction in the use of legato coextensive polyrhythm, but also on account of a particularly open pursuance of the aims of a surrounding '*Neue Sachlichkeit*'.<sup>75</sup> Accordingly, Berg cuts sharply in this work across the tendencies established in his 'style of first sensuousness'. Firstly, he presents a piece devoid either of a multi-string sound, or of the piano used as a simple accompanying medium; at the same time, the composer emulates Schoenberg's Wind Quintet, Op. 26, by throwing the polyphonic burden on the abrasive range of timbres created by a wind ensemble.<sup>76</sup> As shown in [Example 5.18](#), the aggressively pert tune for clarinet arising in the first movement at bar 8 typifies to perfection this new approach. Any lay person who has found pleasure

#### EXAMPLE 5.18

Berg, Chamber Concerto, first movement, bars 8-10



in Berg's music will, as the composer in fact appears to have recognized,<sup>77</sup> surely find this work the most difficult of his to accommodate. Secondly, he virtually confines a quantum of legato coextensive polyrhythm still in recess to the plaintive central Adagio.<sup>78</sup> The composer thus walls any lilting textures into a musical kind of 'ghetto'.



**EXAMPLE 5.19**

Berg, Chamber Concerto, second movement, bars 271-276

[ Ganz langsam ♩ = 24 ]

Musical score for Example 5.19, showing Solo Vn. (Violin) and Tpt. con sord. (Trumpet) parts. The score is in 2/4 time with a tempo of 'Ganz langsam' (♩ = 24). The key signature has one sharp (F#). The Solo Vn. part starts with a dynamic of *pp* and *ma espress.*. The Tpt. part starts with a dynamic of *pp*. Both parts feature triplets of eighth notes. A box highlights bars 271-274 in both staves. The Solo Vn. part ends with a dynamic of *ppp*. The Tpt. part ends with a dynamic of *ppp*.

**EXAMPLE 5.20**

Berg, Chamber Concerto, second movement, bars 330-332

[ Schleppend ♩ = ca.48 ]

Musical score for Example 5.20, showing Eb Cl. (E-flat Clarinet), Cl. (Clarinet), and Solo Vn. senza sord. (Solo Violin) parts. The score is in 2/4 time with a tempo of 'Schleppend' (♩ = ca.48). The key signature has one sharp (F#). The Eb Cl. part starts with a dynamic of *p* and *piu p*. The Cl. part starts with a dynamic of *pp*. The Solo Vn. part starts with a dynamic of *pp*. All parts feature triplets of eighth notes. The Solo Vn. part ends with a dynamic of *ppp*. The Eb Cl. part ends with a dynamic of *pp*. The Cl. part ends with a dynamic of *pp*.

**EXAMPLE 5.21**

Berg, Chamber Concerto, bars 395-399

Doppelt so langsam (♩ = 48)

Musical score for Example 5.21, showing Hns. con sord. (Horn) and Tbn. con sord. (Tuba) parts. The score is in 2/4 time with a tempo of 'Doppelt so langsam' (♩ = 48). The key signature has one sharp (F#). The Hns. part starts with a dynamic of *ppp*. The Tbn. part starts with a dynamic of *ppp*. Both parts feature triplets of eighth notes. The Hns. part ends with a dynamic of *ppp*. The Tbn. part ends with a dynamic of *ppp*. A sextuplet of eighth notes is marked with a '6' above it.

Unsurprisingly, therefore, all of the more notable instances of legato polyrhythm in this work occur in the central Adagio part, an outpouring of Romantic nostalgia;<sup>79</sup> so, as indeed anticipated,<sup>80</sup> these instances tend only to hark back to Berg's earlier use of legato polyrhythmic forms. From bar 271, as shown in Example 5.19, the solo violin engages extremely languidly with muted trumpet, in an intricate piece of invertible contrapuntal interplay, more reminiscent, given this particular timbre, of the muted trumpet musings that lead to the coda of 'Reigen', in the Three Orchestral Pieces, Op. 6, than an anticipation of piquant jazz instrumentation.<sup>81</sup> From bar 330, as shown in Example 5.20, and as already encountered,<sup>82</sup> the continual triplet configurations of a passage not involving direct polyrhythmic combinations hark back – certainly with a hint of promise given the similarity with the Alwa-related 'codetta' music in Act Two of *Lulu*<sup>83</sup> – to the oscillatory music featured in the trio section of the third of the Four Clarinet Pieces, Op. 5.<sup>84</sup> Finally, from bar 395, as shown in Example 5.21, Berg uses the descending part of his Special Polyrythmic Configuration, as the retrograde version of a climactic non-legato version heard earlier in the movement,<sup>85</sup> in a way that harks very obviously back to *Wozzeck*.<sup>86</sup> As regards any resort to 'sensuality' as a fund of ideas,<sup>87</sup> the composer does not at this point seem to know which way to turn.

## 5.2 Use of legato polyrhythm in the works of Berg's 'second style'

Insofar as the *Lyric Suite* for string quartet involves a return to a more congenial form of acoustic medium,<sup>88</sup> then the idea that this work marks the start of the composer's 'style of second sensuousness' does not seem misplaced.<sup>89</sup> Given that Adorno's definition of that style points distinctly, if abstractly, to legato forms of polyrhythm as a crucial 'sensuous' feature,<sup>90</sup> however, then this next work of Berg's does not seem abundantly congruent with the notion. Apart from the provision in the 'Trio Estatico'

**EXAMPLE 5.22**

Berg, *Lyric Suite for String Quartet*, fourth movement ('Adagio Appassionato'), bars 1-8

The musical score for Example 5.22 consists of three systems of four staves each, representing the first eight bars of the fourth movement of Berg's *Lyric Suite for String Quartet*. The time signature is 4/4, and the tempo is marked as quarter note = 69. The first system (bars 1-4) shows a complex texture with dynamics ranging from *pp* to *fp*, and markings like *molto* and *più molto*. The second system (bars 5-8) includes dynamics like *p*, *cresc.*, *poco cresc.*, *mp*, *f*, and *dimin.*, with a tempo change to *À tempo*. The third system (bars 9-12) features triplets and dynamics like *p*, *poco*, and *poco cresc.*. The score is marked with *poco rit.* and *À tempo*.

of a foretaste of later features of the work,<sup>91</sup> the composer severely segments-off a continually diminishing use of such textures, as seen above, in a centrally-placed, pivotal Adagio movement,<sup>92</sup> as with the Chamber Concerto. In the other movements he spends much time on 'chattering' neo-classical semiquavers and other staccato features, typical of '*Neue Sachlichkeit*';<sup>93</sup> furthermore, the use of legato coextensive polyrhythm in that Adagio, while undoubtedly providing a more balanced temporal

**EXAMPLE 5.23**

Berg, *Lyric Suite* for string quartet, fourth movement ('Adagio Appassionato'), bars 25-28

[ Adagio appassionato ♩ = 69 ]

The musical score for Example 5.23 consists of four staves. The first staff (Violin I) begins with a *fp* dynamic and features a melodic line with a long slur. The second staff (Violin II) has a *poco* dynamic and contains a complex rhythmic pattern with sextuplets and triplets. The third staff (Viola) also has a *poco* dynamic and features a melodic line with sextuplets. The fourth staff (Cello/Double Bass) has a *poco* dynamic and contains a complex rhythmic pattern with sextuplets and triplets. The score includes various dynamics such as *fp*, *poco*, *f*, *p*, and *mf*, and features complex rhythmic patterns including triplets and sextuplets.

approach than in the Chamber Concerto,<sup>94</sup> and thus, as shown in Example 5.22, providing a possibility of stylistic developments that will lead to the polyrhythmic manner encountered in this study in *Lulu* and the Violin Concerto, seems too sedately derived from the practices of Brahms to create a very great impression at this stage.<sup>95</sup>

As shown in Example 5.23, and as encountered earlier,<sup>96</sup> that quality even leads in the approach to the first climax of the movement to a wandering further into the zone of neo-Romantic pastiche. That trait renders the surging passage first heard in the 'Trio Estatico' rather tame, despite interest created, perhaps even from a swing-relatable perspective, by Berg's transformation of the dotted rhythms leading up to bar 26, into the succession of tripletized crotchet-quaver patterns from bar 27. At the point of the

**EXAMPLE 5.24**

Berg, *Lyric Suite for String Quartet*, fourth movement ('Adagio Appassionato'), bars 40-42

[ Adagio Appassionato ♩ = 69 ]

The musical score consists of four staves. The top two staves are for the first and second violins, and the bottom two are for the first and second violas. The music is characterized by dense, overlapping rhythmic patterns. The first two staves feature prominent triplet figures. The bottom two staves have a more melodic but still rhythmically active line. The dynamic marking *ff* is present at the beginning of each staff. The tempo marking is [ Adagio Appassionato ♩ = 69 ]. The key signature has one sharp (F#). The score includes various phrasing slurs and articulation marks.

second climax, however, a new development takes place. All of a sudden, in a work that, rather strangely for this composer, does not directly use either of the templates of the Special Polyrythmic Configuration, Berg takes the idea of continual twos against threes in a thickened-out passage of two-part writing, as shown in [Example 5.24](#), and fuses the material syntactically so as to render the legato coextensive polyrhythm all of a piece. He does so by maintaining a general temporal consistency, while using melodic groupings that defy any 'bar-bounded' sense that might suggest Brahms.<sup>97</sup> In so doing the composer installs the polyrhythmic impulse firmly and distinctively at the level of moderato 4/4,<sup>98</sup> as against the 'centrifugal' bias towards a more rapid 3/4 level created by the profusion in 'Reigen' from his Three Orchestral Pieces, Op. 6.<sup>99</sup> For the first time in Berg's oeuvre, an informed listener, at least, will sense a looking-forward, to the integrated textural approach that the composer routinely follows later.

Interest aroused by this remarkable passage centres above all on the extent to which these interactive figurations approach the effect of the oscillatory template quite closely without actually meriting inclusion therein. The oscillatory passage from the

Chamber Concerto, and the Alwa-related 'codetta' music from *Lulu* thus stand in a closer state of resemblance to one another than to the above passage from the *Lyric Suite*;<sup>100</sup> but, precisely by suspending the composer's need to make use of the oscillatory template, that passage plays a crucial intervening role, by linking the *Lulu* oscillatory passages to the one in the Chamber Concerto with a sense of purpose. The two uses of that template in *Lulu* and the Chamber Concerto, though widely separated in time and apparent musical practice, thus emerge as a counter-trend to the 'rising-and-falling' trend observed with the oscillatory instances during Berg's 'style of first sensuousness'.<sup>101</sup> The two later instantiations emerge as describing an arc of counter-incidence, which rises engagingly, with swing-relatable qualities into the listener's consciousness; also, in a linking-up of the two instances, this passage from the 'Adagio Appassionato' of the *Lyric Suite* merges the sense of textural preoccupation – perhaps related to Brahms, perhaps expressionistic<sup>102</sup> – with the oscillatory sense, so presaging a sense of stylistic constancy, by which no surprise results at the Alwa-related Variant 1(a) in Act Two of *Lulu* leading straight into the 'codetta' music.<sup>103</sup>

At this point, Berg establishes his approach, more-or-less, for the remainder of his career, thus using legato coextensive polyrhythm as the element that most straightforwardly embodies Adorno's definition of a 'second style'.<sup>104</sup> Even more importantly from the present point of view, he thereby differentiates his polyrhythmic approach at a crucially swing-relatable juncture,<sup>105</sup> by producing textures no longer disparate as in the 'first style',<sup>106</sup> but unified, no longer 'centrifugal' but 'centripetal'; and, at the same time, he relegates the despondent, descending template of the Special Polyrhythmic Configuration from the high position accorded in the *Altenberg Lieder*, in *Wozzeck*, and in the Chamber Concerto, to an extremely inferior position. In this

connection, the Geschwitz-related music in Act Two, Scene 2 of *Lulu* has already drawn note,<sup>107</sup> music no longer sinisterly 'gurgling' as in *Wozzeck*, but 'whispering' and insubstantial. Berg makes use of this template on only one other occasion in the works written after his Chamber Concerto: at bars 73-4 in *Der Wein*, a conflation of the descending and ascending forms, as substance for the outburst that has drawn attention by providing an environment for the putative quotation of 'It had to be you'.<sup>108</sup> In manner, in getting rid of the despondency, not just in textural context, Berg thus ensures a connection of his polyrhythmic practices with the bright hedonistic springiness of swing, rather than with the fractured, gloomy traits of 'expressionism'.

The clear polyrhythmic differentiation of Berg's two 'styles of sensuousness' exposed by these deliberations accordingly emerges as adding to the importance placed on the use of such textures in *Lulu* and the Violin Concerto, as representing a marked rise after a fall to the low level in *Der Wein*. This fact of differentiation definitely merits inclusion as evidence, in the debate on the issue of Berg's response to swing in jazz:

**EXTRA POINTS, RELATING TO EVIDENCE, ITEMS FIVE & SIX:**

- Berg differentiates his approach to polyrhythm in his later works from the works written prior to the *Lyric Suite*, by regularizing the textural and temporal manner as a whole more in line with the approach in the oscillatory template of the Special Polyrhythmic Configuration;<sup>109</sup> he avoids the extreme kind of disparity characteristic of those earlier works.<sup>110</sup>
- In so doing, Berg severely downgrades his use of the descending template of the Special Polyrhythmic Formation,<sup>111</sup> so ensuring absolutely a brighter, springier form of association of the use of twos against threes;<sup>112</sup> the general

association of polyrhythm in the later works as 'swing-relatable' seems much more straightforward.<sup>113</sup>

These points also stand set against an awareness of the truth underlying George Perle's view of the more 'classical' pulse-orientated approach to texture followed by Berg,<sup>114</sup> and thus serve to highlight the feeling that, unlike in the earlier expressionistic works, the new approach adopted by the composer moulds or 'entwines' the polyrhythmic strands around a regularized metrical procession, much, metaphorically speaking, as a tendril will entwine around a long wooded stake. The composer thus achieves a remarkable degree of correspondence with jazz of the time, as also involving an 'entwining' of lilting irregularities around a steadily maintained sequence of pulses.<sup>115</sup>

#### **REVISED VERDICT ON EVIDENCE, ITEMS FIVE & SIX**

The additional evidence advanced above alters the original verdict on Items Five and Six,<sup>116</sup> by conducing to a strong sense of probability that the passages of legato coextensive polyrhythm in *Lulu* and in the Violin Concerto represent a response on the composer's part to the '2:1' lilting of jazz swing, at times even quite consciously.

The new points also permit the advancement of swing-relatable evidence in respect of the Chamber Concerto and the *Lyric Suite*, as works entirely conceived and written during the period of Berg's earliest exposure, and reorientation to jazz-related music:

#### **EVIDENCE OF BERG'S RESPONSE TO SWING, ITEM SEVEN:**

- The oscillatory passage from bar 330 in the Adagio of Berg's Chamber Concerto postdates the composer's undoubted exposure to a growing tide of jazz-related, lilting music,<sup>117</sup> and perhaps – though very probably not – even his reorientation towards jazz as described by T.W. Adorno.<sup>118</sup>



- The polyrhythmic passage from bar 40 in the 'Adagio Appassionato' of Berg's *Lyric Suite* postdates the composer's undoubted exposure to the growing tide, and definitely the point of his reorientation.
- The passage in the *Lyric Suite* catalyzes a feeling that the oscillatory passage in the Chamber Concerto connects to the ones in Act Two of *Lulu* by forming a rising arc of texturally appreciable development,<sup>119</sup> as opposed to the rising, then falling arc in the *Altenberg Lieder*, the Four Clarinet Pieces, Op. 5, and in *Wozzeck*;<sup>120</sup> that rising arc thus creates a sense of anticipation in the Chamber Concerto passage that joins that work and the *Lyric Suite* as part of a swing-relatable preparation for *Lulu* and the Violin Concerto.<sup>121</sup>

#### **VERDICT ON EVIDENCE, ITEM SEVEN:**

The evidence advanced conduces to a distinct sense of possibility that Berg wrote the polyrhythmic passage from bar 40 in the 'Adagio Appassionato' of his *Lyric Suite* as a response to the 2:1 lilted increasingly evident in the jazz of those times, if probably very subconsciously; with the polyrhythmic passage from bar 330 in the Adagio of the Chamber Concerto, the feeling of possibility, though extremely tenacious, remains much less distinct, as a passage poised on the edge of both memory and anticipation.

#### **5.3 Swing-relatable responses by performers to the music of Berg's 'second style'**

At this point, an opportunity arises to strengthen the idea that these 'centrifugal' and 'centripetal' approaches to polyrhythm in Berg's oeuvre contributed powerfully to the differentiation of two 'styles of sensuousness',<sup>122</sup> by giving proof of the fact that musicians who perform the works of the composer's second style' occasionally feel free to distort the rhythms in a swing-like manner, but hardly ever feel free to do so with works of his 'first style'. Insofar as both styles exhibit a markedly polyrhythmic

**EXAMPLE 5.25**

Berg, *Der Wein*, bars (30)-(32), showing points of possible swing-like distortion during performance by the New York Philharmonic Orchestra, conducted by Pierre Boulez, CD Sony Classical: SMK 45 838 (1979), track 7.

$\text{♩} = 46-52$

Fl. *poco f*  
Hns. *poco f*

**EXAMPLE 5.26**

Berg, *Lulu-Suite*, first movement (Andante – Rondo), bars (58)-63 [equivalent to *Lulu*, Act Two, Scene 1, bars (324)-329], showing points of possible swing-like distortion during performance by the New York Philharmonic Orchestra, conducted by Pierre Boulez, CD Sony Classical: SMK 45 838 (1979), track 1.

$[\text{♩} = 54]$

324 Fl. *poco f*  
+Vn. solo  
Sax. *mp*  
Hns. *poco f*  
Ww. *mf*  
Strs. *mp*  
328 *poco f*  
Brass *f*  
Strs. *mp*

**EXAMPLE 5.27**Berg, *Der Wein*, bars (30)-(32),

[♩ = 69]

Alwa

Dei-ne Lip - pen sind al - ler dings et-was schmal ge - word en.

Sax.

etc.

*p*

(possible lenient interpretation)

trait, and given the fact, noted on several occasions,<sup>123</sup> that such textures definitely provide cover for the insertion by the composer of unapproved nuances in the form of tripletized crotchet-quaver patterns, the insertion of unapproved nuances by musical performers in works of the 'second style' as against the 'first' one significantly stands, if not as evidence, then as grounds for supposing that the regularization of Berg's polyrhythmic style after the Chamber Concerto conduces to a swing-relatable attitude.

The experience of the present writer while listening to recordings of Berg's music has yielded an awareness of a number of very short examples of nuance detectable from playback on CD that sound 'fetchingly' distorted in this way; that sound appropriately 'swing-relatable'; almost all of which concern the composer's 'second style'.<sup>124</sup> In a recording of *Der Wein* by the New York Philharmonic Orchestra conducted by Pierre Boulez,<sup>125</sup> as one such instance, the insinuating melody for flute rising over a swaying accompaniment of syncopated horn chords at bar 30 sounds distorted in that way, as suggested in [Example 5.25](#). In a recording made by the same musicians of the first movement of the *Lulu-Suite*,<sup>126</sup> the filigree on flute and solo violin at bar 62 sounds similarly distorted, as suggested in [Example 5.26](#). Occasionally, as shown in [Example 5.27](#), the composer may appear to give a boost to the likelihood of a distortion, as with the opening quick notes to the theme allotted to Lulu in *Lulu*, which Mosco

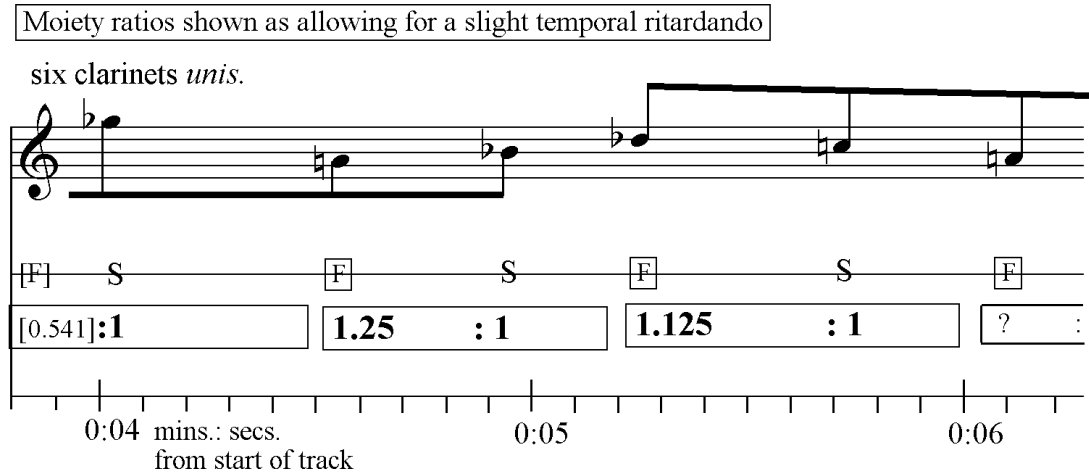
Carner regards as 'dance-like',<sup>127</sup> but that Gerorge Perle sees as evoking the heroine's 'snake-like' treacherousness,<sup>128</sup> as referred to in the Prologue.<sup>129</sup> An encounter with the performed sound of this phrase raises a question as to whether the impression that the first semiquaver may sound longer than the second corresponds to the actual facts.

Even given developments in computer technology that – as outlined in Appendix D – provide an accurate, visually-guided means of enlarging segments from a recordings as part of a 'search forward to onset point' technique,<sup>130</sup> however, a fund of acoustic detail surrounding the enunciations in these examples undermines the confidence needed to regard any readings as reliable. On the other hand, the prospect of obtaining reliable data seems more feasible with slower, less cluttered enunciations. In which case, the kind of melodic line to which performers of Berg may add an element of liting distortion still presents an obstacle to tackle, in respect of the need to extricate such nuances confidently from any alterations of duple ratio very possibly due to the composer's tendency to encourage a use of rubato.<sup>131</sup> To the extent that a rubato style offers a cover for lenient nuances,<sup>132</sup> a need for a means of extrication in the process of discovery will arise: in which case, the concept of 'Adjusted Distortion Factor' – or 'ADF' – comes to the fore,<sup>133</sup> as showing the amount of distortion left after taking temporal distortion into account. A suitable method requires an adduction thereof, from the raw numerical data obtained from any sample taken by means of a computer.

The following presentation of data concerns salient duple divisions of the pulse that have drawn attention in terms of sound rather than in terms of notation. For this reason, use of the term 'moiety' features as part of the frame of reference,<sup>134</sup> taken to mean 'each of two parts into which a thing is divided';<sup>135</sup> thus each pulse divides into

**EXAMPLE 5.28**

Schoenberg, Four Orchestral Songs, Op. 22, No. 1 ('Seraphita'), segment starting at the second eighth of bar 1, with micro-temporal analysis of a performance by the B.B.C. Symphony Orchestra, Yvonne Minton, mezzo-soprano, conducted by Pierre Boulez (1992), CD Sony Classical: SM2K 48 459, Disc 2, Track 10.



[F] - Onset point for first moiety    S - Onset point for second moiety

[F] - Onset point for notional first moiety

a 'first moiety' and a 'second moiety', each with an onset point referred to as 'FMP' for 'first moiety point, and 'SMP' for 'second moiety point'. Use of the term 'moiety' has the advantage (a) of allowing a neutral form of comparison of effects that the composer may have notated in different ways, such as quavers, or as semiquavers, and (b) emphasizing the value of the sound of the performance rather than the appearance of the notated score in this context. Obviously this idea fits in very comfortably with any comparison of classical music and jazz. Moiety pairs very obviously fall in any classical comparison with jazz broadly into '1:1-like' or '2:1-like'.<sup>136</sup> Interest centres on moieties notated as 1:1 and expected by convention as 1:1 in the performed sound, but which the performers may render as 2:1 or some proportion significantly close.<sup>137</sup>

In which case, a sample from a recording of the first of Schoenberg's Four Orchestral Songs, Op. 22, made by the B.B.C. Symphony Orchestra under Pierre Boulez,<sup>138</sup> may, as shown in Example 5.28, provide a plain benchmark of post-Romantic expectations.

**EXAMPLE 5.29**

Berg, *Lulu-Suite*: first movement (Rondo – Andante), segment starting at the fourth eighth of bar 41 [equivalent to *Lulu*, Act Two, Scene 2, bar.299], with micro-temporal analysis of performance by the New York Philharmonic Orchestra, conductor Pierre Boulez (1979), CD Sony Classical: SMK 45 838, Track 1. **FIRST READING**

Moiety ratios shown as allowing for a slight temporal accelerando

Alto saxophone

[F]	S	[F]	S	[F]	S	[F]
[2.015]	: 1	<b>2.366</b>	: 1	<b>1.691</b>	: 1	? :

2:24 mins.: secs.  
from start of track

2:25

2:26

[F] - Onset point for first moiety S - Onset point for second moiety

[F] - Onset point for notional first moiety

**EXAMPLE 5.30**

Berg, *Lulu-Suite*: first movement (Rondo – Andante), segment starting at the fourth eighth of bar 41 [equivalent to *Lulu*, Act Two, Scene 2, bar.299], with micro-temporal analysis of performance by the New York Philharmonic Orchestra, conductor Pierre Boulez (1979), CD Sony Classical: SMK 45 838, Track 1. **SECOND READING**

Moiety ratios shown as allowing for a slight temporal accelerando

Alto saxophone

[F]	S	[F]	S	[F]	S	[F]
[ 2.014 ]	: 1	<b>2.541</b>	: 1	<b>1.148</b>	: 1	? :

2:24 mins.: secs.  
from start of track

2:25

2:26

[F] - Onset point for first moiety S - Onset point for second moiety

[F] - Onset point for notional first moiety

Insofar as performances of the slower, more lyrical music by Chopin and Liszt may permit a limited amount of distortion during performance,<sup>139</sup> which on occasion will cross the proportional line of moiety relationship of 1.5: 1 that overlaps with jazz-related practice at slower tempi,<sup>140</sup> such 'soulful' forms of license hardly stand in high regard in the modernist field, no matter how clearly discernible the stylistic roots.<sup>141</sup> Consequently, though both of the extant moiety pairs in this example exhibit a degree of long-short distortion, as clarified within this ritardando context by the adjustment formulae,<sup>142</sup> the amount of distortion remains well under the 1.5:1 threshold, and thus, by showing that even strict moiety control will require some flexibility, constitutes a tasteful example of 'rubato but 1:1-like'. Of course, Schoenberg's allotment of a line to eight instruments of powerful timbre shackles players together in such a way as to make flexibilities unlikely; yet this example serves to highlight the separate affective function of moiety control within the idea of metrical license and the extent to which, as a mark of Schoenberg's 'modernity',<sup>143</sup> the disciplined sinuosity of this line allows no consideration of license, in performed nuance or imagined inter-attack expectation.

In immediate comparison, an example from a recording of the first movement of Berg's *Lulu-Suite*, made by the New York Philharmonic Orchestra also conducted by Pierre Boulez,<sup>144</sup> leaps out as strikingly different. As shown clearly in Example 5.29, the saxophone distorts the extant moiety pairs to produce ratios to well over the 1.5: 1 threshold relevant for comparison in a jazz-related sense. Even a dilution of the raw 'long-short' data in an accelerando context by a subjection to the analytical formulae fails to suppress the fact of a very pronounced degree of swing-like liting. This idea survives the subjection of the recording to a completely separate process of sampling and micro-temporal measurement, as a means of demonstrating the reliability of this

technique – outlined in Appendix D – indeed at a perceptual level, in which – as with micro-biological levels – all feeling of association with familiar objects vanishes. In the second reading, shown in [Example 5.30](#), the lilt in the first extant pair of moieties increases, the lilt in the second extant pair vanishes. This fact nevertheless draws attention to the high degree of correspondence in the readings, and to the confirmation thereby of the anacrusis as consistently contributory in a lilting way. Of course, the micro-temporal perspective, arising from a comparison of the Berg readings with the Schoenberg reading, lends an instantly familiar degree of substance to perceptions of the music that led to the selections of the samples for measurement in the first place.

Perhaps for professional, swing-related reasons,<sup>145</sup> the saxophonist on this recording has taken considerable license with Berg's notes, to a degree exceeding the flexibility of rubato pure and simple.<sup>146</sup> With a marked element of distortion flowing via the chain of anacrusis to mid-phrase, and ebbing back, an unmistakable jazz-like manner of inflection invades the interpretation of this passage, yet not in the slightest sounding either at odds with the composer's manner of approach or like some form of parody; and the power of this music to induce such response emerges as not confined to one interpretation alone, for, as shown in [Example 5.31](#), a recorded performance of this work by the MET Orchestra under James Levine has drawn attention for purposes of investigation for the same kind of reason.<sup>147</sup> Apart from a retraction of the anacrusis at the start, Levine's version compares in every respect to Boulez's one, as the figures show. Indeed, with the second of the two Boulez readings taken at face value, a rule would seem possible to discern in respect of the 1:1-like ratio as in effect facilitated and established by that retraction. The two versions may serve to show that Berg provokes classical musicians spontaneously to breach the prohibition on '2:1'



**EXAMPLE 5.31**

Berg, *Lulu-Suite*: first movement (Rondo – Andante), segment starting at the fourth eighth of bar 41 [equivalent to *Lulu*, Act Two, Scene 2, bar.299], with micro-temporal analysis of performance by the MET Orchestra, conducted by James Levine (1985), CD Sony Classical: SK 53959, Track 7.

Moiety ratios shown as allowing for a slight temporal ritardando

Alto saxophone

[F] S [F] S [F] S [F]

[ 0.858 ] : 1    2.075 : 1    1.613 : 1    ? :

2:53 mins.: secs.    2:54    2:55  
from start of track

- [F] - Onset point for first moiety    S - Onset point for second moiety  
[F] - Onset point for notional first moiety

**EXAMPLE 5.32**

Berg, *Lulu-Suite*: first movement (Rondo – Andante), segment starting at the fourth eighth of bar 41 [equivalent to *Lulu*, Act Two, Scene 2, bar.299], with micro-temporal analysis of performance by the Vienna Philharmonic Orchestra, conducted by Claudio Abbado (1998), CD Deutsche Grammophon: 447 749-2, Track 9.

Moiety ratios shown as allowing for a slight temporal ritardando

Alto saxophone

[F] S [F] S [F] S [F]

[ 1.113 ] : 1    1.238 : 1    1.313 : 1    ? :

2:42 mins.: secs.    2:43  
from start of track

- [F] - Onset point for first moiety    S - Onset point for second moiety  
[F] - Onset point for notional first moiety

lilting, but, from an irreducible fear of parody, not more than two times in succession. With this proviso, musicians may register a link with jazz on Berg's part subliminally.

An appreciation of the tangibility of this link nevertheless only emerges fully through a reverse form of corroboration, by readings taken of a strict approach to this passage. Comparison accordingly arises, as shown in Example 5.32, in the data generated by a pristine approach by the Vienna Philharmonic Orchestra under Claudio Abbado.<sup>148</sup> During comparison of these different interpretations of the passage via successive playback to an audience of students,<sup>149</sup> a selection of extracts at the wrong starting track on a CD led to a verbal introduction of Abbado as 'lilting', Levine as 'straight'. Distortion of audience perceptions in this way proved impossible to remedy in starting the sequence of playbacks afresh, but for that very reason provided an unsurpassable test of human faculties; for, from a mass of confused response to the genuinely lilting versions, one solid fact emerged; to wit, that the act of crossing over from the lilting Boulez version to the straight Abbado one highlighted the precise sense of will-direction involved in enunciating equal second moieties at this tempo. Comment soon arose that Abbado's version sounded much less idiomatic than the others, showing the extent to which Berg seems in such a combination of texture and timbre to have anticipated a mode of reception that has gained in currency, at least in recent years.<sup>150</sup>

In substantiating this method of micro-temporal measurement, the examples may alert listeners who might think of the nuances as perhaps the confused perceptual response to a general tangle. Notwithstanding any 'acciaccature' from imperfections of ensemble, the ascent of this melody through a series of anacrusis leaves no doubt about where the onset points of the first moieties lie, especially when delivered via a strong instrumental timbre. In both instances, a picture emerges of the way in which

musicians merge their *ex tempore* flourishes seamlessly with preceding or following enunciations. Berg also provides the context – or ‘prompting’ – for such *ex tempore* with a legato texture, with tripletized crotchet-quaver patterns delivered on bassoon at bar 40 in a polyrhythmic context,<sup>151</sup> and, perhaps crucially, with an anticipation by the saxophonist of the outburst of triplets due at bar 42.<sup>152</sup> With an analytical technique based on the idea of an efficient temporal trajectory,<sup>153</sup> these examples emerge as evidence of flexibilities in performance, perhaps not insignificantly prompted by Berg's contextual rhythms, rich, ambiguous harmonies, and his use of the saxophone.

If a reduction in tempo reveals swing – as a main subdivision of the 2:1-like metrical species<sup>154</sup> – as a chronometrically broad category, then an increase in tempo narrows the margin from sheer physical necessity. As noted earlier,<sup>155</sup> classical and jazz habits may converge in this zone, if crucially not unify;<sup>156</sup> for an attempt to convey a 2:1 effect at speed will result in contraction nearly to a 1:1 form of division. The problem of allowing swing-like nuances into performances of rapid music arises conversely to the one arising with slow music: with slow music, long-short nuances may occur in a Romantically-derived manner, providing the boundary with an effective 2:1-like ratio remains very warily approached;<sup>157</sup> with rapid music, an extreme paucity of option – either straight 1:1 or lilting ‘1:1’ – creates a situation in which similarities to the sound that characterized early jazz will prove anathema in post-Baroque music, and so not fall in any canon of expectation.<sup>158</sup> Notwithstanding too the wariness needed with examples of rapid passagework in Berg's music that, as noted above, sound distorted, but as part of an acoustic complex that could generate scientific difficulties, however, a rendition of the approach to the coda of the ‘Andante amoroso’ of the *Lyrical Suite* in

**EXAMPLE 5.33**

Berg, *Lyric Suite*, version for string orchestra, first movement ('Andante amoroso') [equivalent to second movement of the original version for string quartet], segment starting at the final sixth of bar 124, with micro-temporal analysis of performance by the New York Philharmonic Orchestra, conducted by Pierre Boulez (1979), CD Sony Classical: SMK 45 838, Track 10.

Moiety ratios shown as allowing for a slight temporal ritardando

4:29 mins.: secs. from start of track 4:30

[F] - Onset point for first moiety    S - Onset point for second moiety  
 [F] - Onset point for notional first moiety

**EXAMPLE 5.34**

Berg, *Lyric Suite*, second movement [or first movement of version for string orchestra] ('Andante amoroso'), bars (141)-142

**(a)** as notated

[♩ = 69]

**(b)** as performed

[♩ = 69]

the composer's version for string orchestra by the New York Philharmonic Orchestra under Pierre Boulez offers an example palpable enough to lead to an investigation.<sup>159</sup>

As shown in Example 5.33, the readings as processed by the formulae give substance to the feeling of recognition that singled this interpretation out from other, straighter ones, such as represented by a recording of the same piece by the Berlin Philharmonic Orchestra conducted by Herbert von Karajan.<sup>160</sup> Boulez, apparently in an act that must

**EXAMPLE 5.35**

Berg, Violin Concerto, first movement (Andante), segment as the whole of bar 52, with micro-temporal analysis of performance by the Bavarian Radio Symphony Orchestra with soloist Henryk Szeryng, conducted by Rafael Kubelik (1971), CD Deutsche Grammophon: Classikon, 439 435-2, Track 4.

Moiety ratios shown as allowing for a slight temporal ritardando

First violins

2:11 mins.: secs. from start of track      2:12      2:13

[F] - Onset point for first moiety    S - Onset point for second moiety

[F] - Onset point for notional first moiety

**EXAMPLE 5.36**

Berg, Violin Concerto, I/1, bars 130-1

[♩ = 112]

Solo violin

*f*      *ff rustico*      *f*      *mf*

cut against his aesthetic grain,<sup>161</sup> manages to convey a sense of rhythmic ebullience in this music, at a point in the work clearly intended by Berg to represent a moment of libidinous epiphany.<sup>162</sup> So much so, that the performers render the approach to that coda with a whole series of lilting dislocations, such as shown in [Example 5.34](#);<sup>163</sup> indeed, to rescore the passage, as replete with fragments of a partially pentatonic melody, for a jazz-related combo with clarinet in the high treble, would, under this set of performing conditions, start to approach the sound of Dixieland.<sup>164</sup> Insofar as this rendering also matches Romantic performance practice as encountered for example

with the music of Brahms,<sup>165</sup> the causative differentiation from the earlier instances of distortion cited nevertheless stands poised on an autobiographical and swing-relatable cusp. The listener can perhaps feel justified in viewing the two as in some way linked.

The perceivable possibilities for inquiry do not rest with the *Lyric Suite*, but crop up – as noted<sup>166</sup> – in *Der Wein*, *Lulu* and the Violin Concerto; in this last work, a question arises as to whether nuances evident, in the performance by the Bavarian Radio Symphony Orchestra under Henryk Szeryng,<sup>167</sup> of bar 52 from the first movement, as confirmed by the readings shown in Example 5.35, represent more than neo-Romantic ebullience. The nuances discernible, as shown in Example 5.36, in Rafael Kubelik's performance of the passage from bar 130 – tellingly marked 'rustico' – also appear as likely to emerge in the form of numerical data, creating an effect as though the world of Stéphane Grapelli and the *Hot Club* of Paris did not seem very far off.<sup>168</sup> Clearly, the possibilities lie open for further micro-temporal investigations in this area.<sup>169</sup> The fact that examples of performance practice of this kind, quick or slow, appear to affect Berg's music only – as seems clear from reflection<sup>170</sup> – in works written after the Chamber Concerto would appear to deserve regard as evidence for a perception of this composer by classical musicians, at least subliminally, as connected to jazz via swing.

with the music of Brahms,<sup>165</sup> the causative differentiation from the earlier instances of distortion cited nevertheless stands poised on an autobiographical and swing-relatable cusp. The listener can perhaps feel justified in viewing the two as in some way linked.

The perceivable possibilities for inquiry do not rest with the *Lyric Suite*, but crop up – as noted<sup>166</sup> – in *Der Wein*, *Lulu* and the Violin Concerto. In this last work, a question arises as to whether the nuances evident in the performance by the Bavarian Radio Symphony Orchestra, under Henryk Szeryng,<sup>167</sup> of bar 52 from the first movement, as confirmed by the readings shown in [Example 5.35](#), represent more than neo-Romantic ebullience. The nuances discernible, as shown in [Example 5.36](#), in Rafael Kubelik's performance of the passage from bar 130 – tellingly marked 'rustico' – also appear as likely to emerge in the form of numerical data, creating an effect as though the world of Stéphane Grapelli and the *Hot Club* of Paris did not seem very far off.<sup>168</sup> Clearly, the possibilities lie open for further micro-temporal investigations in this area.<sup>169</sup> The fact that examples of performance practice of this kind, quick or slow, appear to affect Berg's music only – as seems clear from reflection<sup>170</sup> – in works written after the Chamber Concerto would appear to deserve regard as evidence for a perception of this composer by classical musicians, at least subliminally, as connected to jazz via swing.

#### 5.4 Endnotes for Chapter Five

- (1) See pages 153-4 above.
- (2) See Appendices A & B.
- (3) Whereas at rapid tempi, bar-spaces tend to contain low quantities of information, and thus occur many times on each line, at slow tempi, bar-spaces tend to contain large amounts of internal figuration, and thus occur only a few times on each line.
- (4) See Ex. 4.32 (page 203 above).

- (5) See page 147 above.
- (6) During this part of *Der Wein*, the ear cannot register in allusively interactive detail the continuous outpouring of nine quaver triplets per bar on upper woodwind, as set against the syncopated series of crotchets on upper strings.
- (7) See [Section 4.3](#) above.
- (8) See Appendices A & B.
- (9) See Mosco Carner, *Alban Berg: the man and his work*. London, 1975, revised 1983), pp.107-8.
- (10) George Perle, *The operas of Alban Berg, volume two: Lulu* (Berkeley, Ca., 1985), p.1.
- (11) See pages 156-9 above.
- (12) See pages 155-9 above.
- (13) T.W. Adorno, Trans. *Alban Berg: master of the smallest link* (Cambridge, 1991), p.104.
- (14) See *ibid*, pp.104-113.
- (15) See *ibid*, p.105.
- (16) A simple observation: the sax section of a swing band occupies a comparable internal role to the string section of a symphony orchestra.
- (17) 'Smooth', 'oily', 'slick', as opposed to the 'perky', 'spiky' or 'jagged' of staccato.
- (18) See Adorno, *Alban Berg*, p.89.
- (19) See pages 29-30 above.
- (20) See Willi.Reich, trans. *The life and work of Alban Berg* (London, 1965), p.21.
- (21) Letter from Berg to Frida Semmler (1907), cited in *ibid*, p.22.
- (22) Piano Sonata, Op. 1; Four Songs on texts by Hebbel & Mombert; Op. 2, String Quartet, Op. 3.
- (23) See pages 16, 22-3, 141-2 above.
- (24) In this respect, Berg's approach to Brahms as the producer of piano sonorities resembles the approach by Schoenberg in his Three Pieces for Piano, Op. 11; see Malcolm Macdonald, *The master musicians: Schoenberg* (London, 1976), pp.157-8.
- (25) See Appendix B.
- (26) See page 65 above.
- (27) For example, see first movement, bars 25-7.



- (28) See Adorno, *Alban Berg*, p.53.
- (29) See pages 151-2 above.
- (30) See page 152 above.
- (31) Spontaneously occurs in performances with this kind of rubato style: hear for example, Ramor Quartet, LP, *Turnabout* TV 4021 (London, 1967).
- (32) See: Adorno, *Alban Berg*, p.62; Carner, *Alban Berg: the man and his work*. London, p.101.
- (33) See Macdonald, *The master musicians: Schoenberg*, p.96.
- (34) See Adorno, *Alban Berg*, pp.66-7.
- (35) See Arnold Schoenberg (1936), trans. 'The teacher's testimonial', in Reich, *The life and work of Alban Berg*, p.20.
- (36) With emphasis so far in this study on the incompatibility of Berg's music from Stravinsky's, interest arises in the fact that the latter composer uses descending and oscillatory elements of polyrhythm in the introduction to his *Sacre du printemps*; hence, the introduction to a work by Stravinsky, who otherwise avoided this kind of texture, attains proximity to an unusual characteristic used contemporaneously by a mutually unaware Berg, in a work, the introduction to which conversely represents the closest that – except for the rag-like parodies in his concert aria *Der Wein* and second opera *Lulu* – this latter composer would approach the characteristic sound of the former; the fact also remains curious that the premieres of both works in 1912 provoked riots, much as if a presentiment of the international hostilities that would erupt two years later.
- (37) See Ex. 4.22 (page 187 above).
- (38) See: Table 4.3 (page 172 above); pages 172-4 above.
- (39) See Ex. 4.22 (page 187 above); note the passage from bar 1026.
- (40) As associated with either love or death.
- (41) See Op. 6, No. 3 ('Marsch'), bars 123-6.
- (42) See Reich, *The life and work of Alban Berg*, p.126.
- (43) See page 238 above.
- (44) See page 238 above.
- (45) Act One, Scene 2 depicts the protagonist, Wozzeck experiencing terrifying delusions.
- (46) See pages 151-2 above.
- (47) See page 152 above.

- (48) See Ex.4.22 (page 187 above).
- (49) See Act Three, Scene 4, from bar 284.
- (50) See Ex. 5.3 (page 241 above).
- (51) As shown in Ex. 5.6, Berg elicits a continually rising shape on clarinet from the polyrhythmic fabric.
- (52) See Op. 6, No. 1 ('Präludium'): from bar 1; from bar 52.
- (53) See, for example, Section 4.4.1.2.
- (54) See Kathryn Bailey, 'Berg's aphoristic pieces', *The Cambridge companion to Berg*, ed. Anthony Pople, p.109.
- (55) 42%, as shown in Appendix B;
- (56) 'Reigen' contains 20% of the content of the whole work, as constituting 62% of that piece.
- (57) See pages 96-7 above.
- (58) Note also the scintillating – but not polyrhythmic – oscillatory passage in the fourth piece, from bar 8.
- (59) See pages 96-7 above.
- (60) As regards the idea of '*objet trouvé*' as applied to legato coextensive polyrhythm, see page 140 above.
- (61) See Section 3.2.4 above.
- (62) See Ex. 4.30 (page 197 above).
- (63) See Derrick Puffett, 'Berg, Mahler and the Three Orchestral Pieces, Op. 6', *The Cambridge companion to Berg*, ed. Anthony Pople, pp.131-132.
- (64) For example: Act One, Scene 1, from bar 130; Act Two, Scene 1, from bar 109; Act Three, Scene 2, from bar 89.
- (65) See Appendices A & B.
- (66) See Adorno, *Alban Berg*, p.130.
- (67) See pages 142-3 above.
- (68) Obviously, however 'Romantically' conventionalized, legato coextensive polyrhythm hints distinctly at the possibility of free rhythmic elaboration; see Section 4.1 above.
- (69) 'Bar-bounded': the melodic syntax broadly confirms the sets of threes, thus sounding more conventionally Romantic.
- (70) See Derrick Puffett, 'Berg and German opera', *The Berg companion*, ed. Douglas Jarman, pp.207-210.

- (71) 'Rising' of course means 'rising into the interactive consciousness of the listener'; 'rising, then falling' means that the element of purposeful linkage of oscillatory instances during this 'first style' falls away from the actualization of a synthesis of approach mooted by the passage in Op. 5.
- (72) See page 236 above.
- (73) See pages 237 above.
- (74) See Adorno, *Alban Berg*, p.89.
- (75) In the outer movements, and especially in the waltz-dominated first one.
- (76) See Adorno, *Alban Berg*, pp.91, 100.
- (77) The following account carries a great deal of resonance in this context:

Of his own music Berg apparently spoke little. He admired the facility of Poulenc and Milhaud and on more than one occasion described his own music to Stefan Askenase as unapproachable by comparison. For instance, during a concert in Berg's honour, after 'cheery' and 'harmless' chamber music pieces by Poulenc and Milhaud which he liked very much, they began to play his Chamber Concerto and Berg said, "Is this unfriendly music?"

Cited in Joan Allen Smith, 'Berg's character remembered', *The Berg companion*, ed. Douglas Jarman, p.22; for the source of this anecdote, see Soma Morgenstern, *Alban Berg und seine Idole: Erinnerungen und Breife* (Leck, Austria, 1995), pp.314-5.

- (78) Carner, *Alban Berg: the man and his work*, p.152.
- (79) Note the correspondence, thematically and mood-wise, of the coda to this movement and the coda to the first movement of Mahler's Ninth Symphony.
- (80) See page 238 above.
- (81) See pages 44-5 above.
- (82) See page 97 above.
- (83) See: Table 4.3 (page 172 above); Ex. 4.13 (page 174 above).
- (84) See Ex. 5.6 (page 246 above).
- (85) See second movement, from bar 314.
- (86) See Ex. 5.4, Ex. 5.5, Ex. 5.6 (pages 243-4 above).
- (87) See page 238 above.
- (88) See Adorno, *Alban Berg*, p.100.
- (89) See pages 237-8 above.
- (90) See Sections 4.4.1, 4.4.1.1, 4.4.1.2, 4.4.1.3, 4.4.1.4, 4.4.2, 4.4.2.1,
- (91) See pages 93-4 above.

- (92) See Adorno, *Alban Berg*, p.110.
- (93) See page 150 above.
- (94) Compare Adorno, *Alban Berg*: p.100; p.110.
- (95) Above all through the regularity of the accompanying triplet semiquavers.
- (96) See pages 94-5 above.
- (97) See: page 253 above; endnote V (68).
- (98) See page 213 above.
- (99) See endnote IV (313).
- (100) Compare: Ex. 5.20; 4.13; 4.16.
- (101) See endnote V (70).
- (102) See page 250 above.
- (103) See pages 172-8 above.
- (104) Compare: pages 155-8, 193-7, 215 above; page 237 above.
- (105) In that Berg changed to a more favourable attitude towards jazz in 1925, the year that he completed the Chamber Concerto and commenced work on the *Lyric Suite*; see pages 29-30 above.
- (106) See page 250 above.
- (107) See Ex. 4.22 (page 187 above).
- (108) See: Section 3.2.2; page 131 above.
- (109) See pages 258-61 above.
- (110) See page 260 above.
- (111) See page 260 above.
- (112) See: Section 4.4.1.2; page 213 above.
- (113) See pages 260-1 above.
- (114) See page 236 above.
- (115) See page 142 above.
- (116) See pages 198-201, 216-7 above.
- (117) See: Section 1.1; page 105 above; page 200 above.
- (118) See page 29 above.
- (119) See: page 260 above; endnote V (100).
- (120) See pages 253-4 above.
- (121) See pages 259-60 above.
- (122) See pages 258-62 above.
- (123) See Section 3.2.4.

- (124) As the only exceptions, the present writer has detected a single agogic extension in the 'Präludium' from Op. 6 on LP under Antal Dorati.
- (125) CD: Sony Classical, SMK 45 838, *Alban Berg: Lulu-Suite [Symphonic Pieces from the opera Lulu] (1934); Der Wein (1929); Lyric Suite, three-movement adaptation for string orchestra (1928, performed by New York Philharmonic Orchestra, conducted by Pierre Boulez (UK, 1990)*
- (126) *Ibid.*
- (127) See Carner, *Alban Berg: the man and his work*, p.228.
- (128) See Perle, *The operas of Alban Berg, volume two: Lulu*, pp.110-1.
- (129) See the Ringmaster's vocal part in the Prologue: bars 46-8; bars 60-62.
- (130) See Appendix D.
- (131) E.g., see Carner, *Alban Berg: the man and his work*, p.153.
- (132) Nuances will remain distinct in a rubato style, but obtrude less obviously than in a giusto style.
- (133) A quotient identified by special formulaic calculation to expose elements of tilting otherwise more difficult to detect scientifically within the curve of an accelerando, and to put in perspective elements of tilting otherwise accorded too much importance within the curve of a ritardando.
- (134) A frame of reference viewed as ultimately defined by the network of metrical relationships described in Section 4.5.1 above.
- (135) COED, 4<sup>th</sup> Edition. Compare also the 'Principle of Metric Equivalence' advanced in Grosvenor Cooper & Leonard B. Meyer, *The rhythmic structure of music* (Chicago, 1960), pp.22-24.
- (136) See pages 104-8, 144-7 above.
- (137) Compare Anders Friberg & Andreas Sundström, 'Swing ratios and ensemble timing in jazz performance: evidence for a common rhythmic pattern', *Music Perception*, Spring 2002, Vol. 19, No. 3, p.341; Clive Brown, *Classical and Romantic performing practice, 1750-1900* (Oxford, 1999), pp.613-4.
- (138) CD: Sony Classical, SM2K 48 459. 1993. *Arnold Schoenberg: Gurrelieder; Four Orchestral Songs, Op. 22*. P/B The BBC Symphony Orchestra with various vocal soloists including Yvonne Minton, conducted by Pierre Boulez. (London, 1975; 1982).
- (139) See Brown, *Classical and Romantic performing practice, 1750-1900*, pp.613-4.

- (140) See endnote V (137).
- (141) Joan Peyser, *Boulez: composer, conductor, enigma* (London, 1976), p.169.
- (142) See Appendix D.
- (143) But note Schoenberg's comments in 1948 about flexibility in performance, as trans. in 'Today's manner of performing classical music', *Style and Idea*, ed. Leonard Stein, pp.320-2. In Igor Stravinsky & Robert Craft, *Dialogues and a diary* (London, 1961, reprinted 1968), pp.107-9, Stravinsky opines on the idea of his style as based on tempo giusto and Schoenberg's style as open to tempo rubato as a means of distinguishing the style of these two composers; given the affective importance for the two kinds of moiety control stressed in this study, however, a 'rubato but straight style' such as Schoenberg's may stand united more with Stravinsky's style than with the 'rubato and lilting' approach occasionally fostered by Berg
- (144) CD: Sony Classical, SMK 45 838.
- (145) Obviously, the orchestral saxophonists on recordings of Berg's music may double on occasions as jazz musicians.
- (146) See endnote V (132).
- (147) CD: Sony Classical, SK 53959, *Alban Berg: Three fragments from 'Wozzeck' (1924); Three Orchestral Pieces, Op. 6 (1914-15); Lulu-Suite [Symphonic Pieces from the opera 'Lulu'] (1934)*, performed by the MET Orchestra, conducted by James Levine (London, 1995).
- (148) CD: Deutsche Grammophon, 447 749-2, *Alban Berg: Altenberg Lieder [Five Orchestral Songs], Op. 4 (1912); Lyric Suite, three-movement adaptation for string orchestra (1928); Lulu-Suite [Symphonic Pieces from the opera Lulu] (1934)*, Vienna Philharmonic Orchestra, Juliane Banse soprano, conducted by Claudio Abbado (Germany, 1998).
- (149) Seminar, 'Moiety, consistency and particular modes of expression in Berg', University of Hull, February 2000.
- (150) See page 86 above.
- (151) See Ex. 4.15 (page 178 above); see bar 298.
- (152) See *ibid.* [Ex. 4.15]; see bar 300.
- (153) See remarks on the mathematical concept of 'cubic curves' as an expression of human impulses during changes of musical tempo, in Davis Epstein, *Shaping time: music, the brain and performance* (New York, 1995), pp.419-420.

- (154) 'Swing' does not cover parts of the '2:1-like' experience in respect of (a) contextualized, 'un-jazzy' near-equalizations, such as continual sequences of sub-2:1 ratios that tend to neutralize the 'slinky' sensation vital to the jazz ethos, and (b) texturally abrasive forms, such as Baroque jigs and pastoral rhythms, often reinforced by interior dotted rhythms; this latter point of course highlights the importance of extrinsic factors in a phenomenon otherwise metrically intrinsic and 'pure'.
- (155) See endnote IV (140).
- (156) See pages 143-4 above.
- (157) See Brown, *Classical and Romantic performing practice*, pp.613-4.
- (158) See pages 144-6 above.
- (159) CD: Sony Classical, SMK 45 838.
- (160) CD: Deutsche Grammophon, Classikon, 439 435-2, *Alban Berg: Three Orchestral Pieces, Op. 6 (1914-5)*, Berlin Philharmonic Orchestra, conducted by Herbert von Karajan, *Alban Berg: Violin Concerto (1935)*, Bayerischen Rundfunk, with Henryk Szeryng violin, conducted by Rafael Kubelik, *Alban Berg: Lyric Suite, three-movement adaptation for string orchestra*, Berlin Philharmonic Orchestra, conducted by Herbert von Karajan (Germany, no date); at this stage reticence arises at the prospect of comparing this rendering scientifically with the version conducted by Boulez, on account of the need for greater study of the principles involved at such a precarious temporal level.
- (161) See Peyser, *Boulez*, p.218: 'Boulez himself is not impervious to criticism and, indeed, often tries to give the critic what the critic wants...It happened again when the magazine section of the *New York Times* ran a particularly damaging essay, attacking Boulez's coldness...[including as conveyed by his manner of conducting works in] the traditional repertoire. That weekend Boulez was conducting Brahms's A major Serenade. I [Joan Peyser] did not attend, but [Joe] Roddy did. He called me to say Boulez was moving all over the stage, swinging and swaying as he never did before. "It was painful to watch..."
- (162) Carner – courtesy of an annotation by Berg – identifies the idea of a codified 'amorous outburst' in this work as occurring initially in the 'Trio Estatico' from the third movement; see Carner, *Alban Berg*,.129; the approach to the coda of the Andante amoroso' nevertheless provides a clear anticipation of the passions soon to erupt, as the title of that movement indicates; the coincidence

- of this idea with the distortions as the first swing-relatable phenomenon affecting the music of Berg's oeuvre merits careful underlining at this point.
- (163) For example, Galimir Quartet (1936), CD, Continuum SBT 1004 (Germany, 1991), Ramor Quartet, LP, Turnabout TV 4021 (London, 1967), New York Philharmonic Orchestra, conductor Pierre Boulez, CD, Sony Classical SMK 45 838 (UK 1990); the possibility also of course remains of all of these effects as temporally 'dislocated' constructs imposed by the listener.
- (164) See I.B.M, unpublished essay, 'Berg and Stravinsky' (Nov., 1998)
- (165) Note the similarity of the shape of the line in this work to the lyrical melody from bar 8 in the first movement of Brahms's Fourth Symphony; also the closely similar, apparently ubiquitous tendency of performers of this work to create similar, 'Romantically'-generated distortions.
- (166) See pages 264-6, 275 above.
- (167) CD: Deutsche Grammophon, Classikon, 439 435-2.
- (168) See Stuart Nicholson, 'Fusions and crossovers', *The Cambridge companion to jazz*, eds. Mervyn Cooke & David Horn, p.240; little appears to emerge in the primary literature about an association, obviously successful and pleasant if at first marked by controversy, by Berg from 1928 with the scene in Paris; see Carner, *Alban Berg*, p.75n; yet the composer may well have visited Paris more often than shown in the published accounts, thereupon very possibly to sample developments in jazz in the French capital during that period.
- (169) See endnote V (154).
- (170) Many examples remain casually noticed: for example, Scherchen's rendering of the oscillatory music in the first movement of the *Lulu-Suite*; also the same music under Dorati; the above-cited version of the Violin Concerto arouses curiosity about other parts of the passagework surrounding the passage shown in Ex. 5.35.



– CHAPTER SIX –  
**BERG'S SWING-RELATABLE EFFECT  
ON THE IMAGINARY COGNITIVE FACULTIES**

The ideas on legato forms of polyrhythm discussed in the previous two chapters may emerge as crucial to a view of Berg's music as swing-relatable, but do not exhaust the topic. This situation arises implicitly in the observation, stated in Chapter Five, that the composer moulds the polyrhythmic strands in his 'style of second sensuousness' much more than in earlier works, around a regularized metrical 'procession',<sup>1</sup> a term that does not totally accord with the idea of 'neo-classicism' or '*Neue Sachlichkeit*'.<sup>2</sup> Musical fashions such as 'neo-classicism' may depend on the idea of 'procession' as an underlying cognitive principle, but tend to involve a great deal of surface activity;<sup>3</sup> thus the salient aspect of a work such as Stravinsky's Piano Sonata of 1924 lies in the constant, or constantly implied fact of Baroque-like staccato semiquavers or other like effects.<sup>4</sup> In marked contrast, Berg started as his 'style of second sensuousness' unfolded to show an interest in simple metrical textures precisely as a procession of pulses uncluttered by rapid activity: in primal terms, at the '4/4 *Allemande*' stratum, the composer shows on a number of significant occasions an inclination to avoid a use of even-numbered pulses, or pulses not occurring at positions calculable as  $(4N - 3)$ .<sup>5</sup>

As already noted,<sup>6</sup> Berg did not hesitate at first to reflect the 'busy' aspect of the 'neo-classical' impulse: the outer movements of the Chamber Concerto, the first, third and fifth movements of the *Lyrical Suite*, and Act One of *Lulu* all depend heavily on an assumed fashionable staple of rapid, mechanically equal enunciations; but, especially with the start of the 'Adagio Appassionato' of the *Lyrical Suite*,<sup>7</sup> and close of that work with the final bars of the 'Largo Desolato', the composer starts to exhibit a growing preference for placid, legato sequences of quavers precisely as a metrical 'procession'.

**EXAMPLE 6.1**

Berg, Violin Concerto, I/1, bars 1-4

Andante ♩ = 56

Solo Vn.

pp

p

Cls./Hp.

pp

p

This fact marks an enhancement of the idea of Berg's 'style of second sensuousness' as distinguishable from his 'first':<sup>8</sup> thus *Der Wein* opens very strikingly with a placid, uncluttered sequence of this kind;<sup>9</sup> in *Lulu*, a number of passages occur – including the all-important 'Love Theme' associated with the heroine's attachment to Schön – that show the impact of this development;<sup>10</sup> and, as shown in [Example 6.1](#), the Violin Concerto emerges at the end of the composer's career, and as last of his completed achievements, as a work infused from the outset by a persistent lilt of legato quavers.

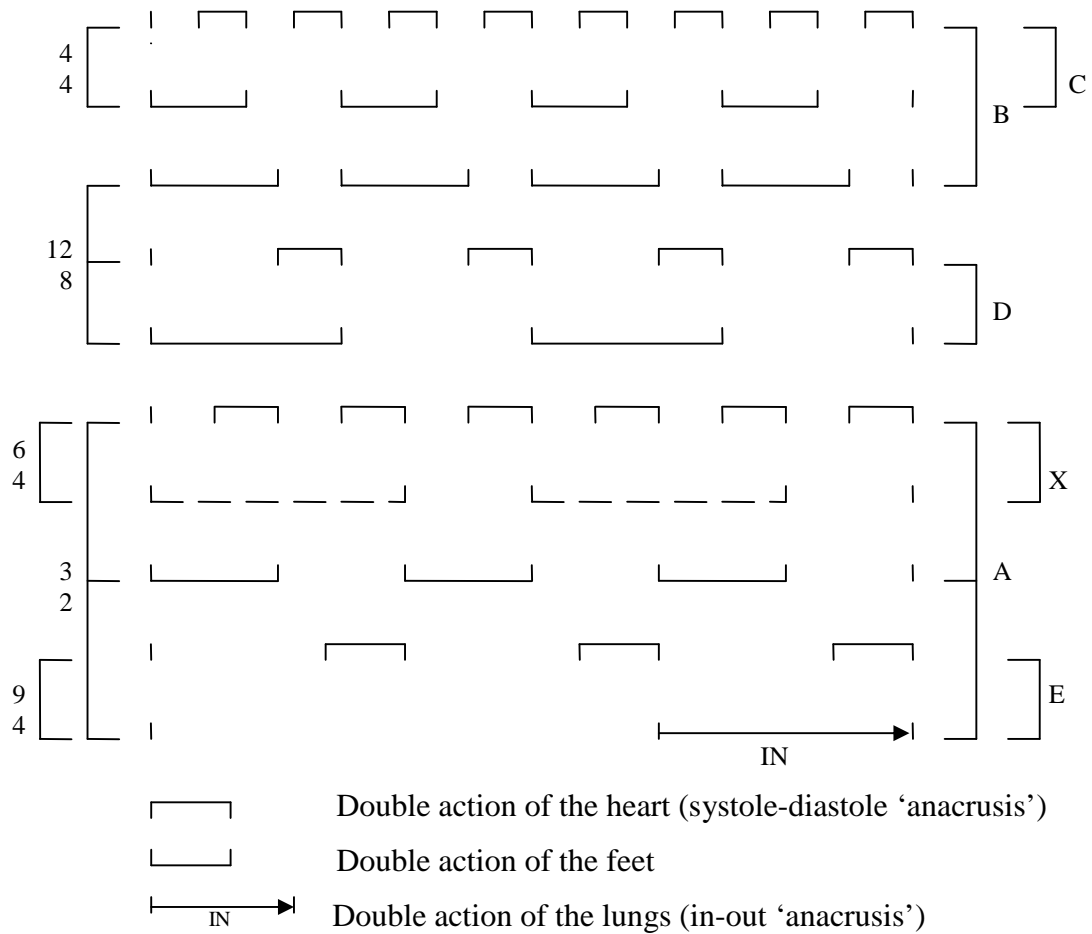
If, in the way fashionable for the 1920s and 30s, Berg had filled the above passages with a constant stream of semiquavers, especially staccato ones, then further questions of swing-relatedness would not have arisen; the listener would find his or her faculties trapped in an underlying assumption about the nature of metrical subdivision.<sup>11</sup> In the event, however, the composer has allowed for such questions, by providing in each case long sequences of wider-spaced attacks, within which the listener's imagination may find rein. The classical, academic idea that a series of, say, empty crotchets will automatically suggest an internal, imaginary form of division on a 1:1 basis of course does not have to hold.<sup>12</sup> As evidence to counter the academic idea, the present writer brings his own experience of hearing music played by a marching band for a Good

Friday parade at a well-known holiday resort in Spain.<sup>13</sup> At the very end of a phrase, a straight, 1:1 quaver, played in the bass as an anacrusis into the next phrase, suddenly shocked the present writer, by exposing the hitherto unconscious fact of his imaginary parsing of the preceding procession of entirely plain crotchets as divided in a 2:1 way. At slow tempi such as pertained on this occasion, the 2:1 way will of course relate to a more detailed, triple division of 1:1:1.<sup>14</sup> Under the right conditions, to judge from this experience, therefore, the listener may fill a musical gap as easily with 2:1 imaginary divisions as 1:1 ones, perhaps, given the particularities of the situation, even more so.

The idea that the exercise of imaginary cognitive faculties in these kinds of situation will depend on conditioned aspects, or on natural aspects of the listener's intelligence, seems a reasonable proposition to make in pursuit of an understanding of the matter: in some cases, as with the Spanish experience cited above, a pre-conditioning by some association with the underlying tread of jazz-related music may play a part; with other cases, the piece of music in question may provide cues. Finally, the idea does not by any means deserve ruling out that all of us stand in a position of cognitive pressure: as regards the broader question of musical 'pace', by virtue of the tendency for us to move our legs equally,<sup>15</sup> if at different overall rates, when walking; and, as regards the more detailed question of subdivision of the musical 'pulse', obviously an extremely crucial factor, by virtue of the uneven, '2:1'-like patterns created palpably by the phases of the cardiac cycle.<sup>16</sup> To judge by the correspondences shown in Example 6.2, the entire framework of primal metrical relationships outlined in Chapter Four may stand interpretation as the emblem, perhaps as a preconditioned outcome, perhaps only as a reinforcement, of the varying binary motion of heart, feet, and even lungs.<sup>17</sup>

**EXAMPLE 6.2**

The primal metrical framework as physiologically emblematic [see page 209 above]



PHASE A) Rapid pulse / moderate pace

PHASE B) Hectic pulse / rapid skipping (a child's preliminary to Phase C))

PHASE C) Hectic pulse / rapid pace

PHASE D) Moderate pulse / slow pace

PHASE E) Slow pulse / at rest

PHASE X) Rapid pulse / moderate, formalized skipping (minuet, waltz etc)

The lungs work at unpredictable rates outside phases A) and E)

**EXAMPLE 6.3**

**(a) Berg, *Wozzeck*, Act One, Scene 4, bars 520-521**

noch ruhiger (♩ = 60)

Doktor (p) *ohne cresc.* (p)

Ich bin ganz ru-hig, mein Puls hat sei-ne ge-wohn li-che Sechzig.

Cel. mf

ang.

Str. pp

Detailed description: This musical score excerpt is for Act One, Scene 4 of Berg's *Wozzeck*, bars 520-521. It features a vocal line for the character Doktor and piano accompaniment. The tempo is marked 'noch ruhiger' with a quarter note equal to 60 beats. The key signature has one sharp (F#). The vocal line begins with a piano (*p*) dynamic and includes a triplet of eighth notes. The piano accompaniment consists of a celesta part with triplets of eighth notes and a string part with a piano (*pp*) dynamic. The score includes performance instructions such as 'ohne cresc.' and dynamic markings like *mf* and *pp*.

**(b) Berg, *Lulu*, Act Two, Scene 1, bars 522-529**

[ Comodo, tempo des Pulsschlages ♩ = ca 80 ]

522 Lulu

Vns. *con sord.*

Ich ha-be nie in der Welt et was an-de-res

Sax. mf

Hns. + + + p

Ww. p

525

schei-nen woll-en, als wo-für man mich ge

(Sax.) p

Detailed description: This musical score excerpt is for Act Two, Scene 1 of Berg's *Lulu*, bars 522-529. It features a vocal line for the character Lulu and piano accompaniment. The tempo is marked '[ Comodo, tempo des Pulsschlages ♩ = ca 80 ]'. The key signature has one sharp (F#). The vocal line begins at bar 522 with a piano (*p*) dynamic and includes a triplet of eighth notes. The piano accompaniment includes parts for strings (*con sord.*), saxophone (*Sax.*), and woodwinds (*Hns.*, *Ww.*). The score includes performance instructions such as 'con sord.' and dynamic markings like *mf* and *p*. The score is divided into two systems, with bar numbers 522 and 525 indicated.

**(c) Berg, *Violin Concerto*, II/1, bars 23-26**

Molto ritmico [ ♩ = 69 ]

Solo violin

f p e cresc.

Detailed description: This musical score excerpt is for the second movement of Berg's *Violin Concerto*, bars 23-26. It features a solo violin line. The tempo is marked 'Molto ritmico' with a quarter note equal to 69 beats. The key signature has one sharp (F#). The violin line begins with a forte (*f*) dynamic and includes a triplet of eighth notes. The score includes performance instructions such as 'e cresc.' and dynamic markings like *p*.

Very interestingly in this context, as shown in [Example 6.3](#), works composed by Berg at several points in his career support this hypothesis by the way in which the composer stabilizes the idea of State E, as defined in Example 6.2, as consisting of a cardiac cycle of, say, 60 per minute, correlated to a respiratory cycle of 20 per minute with the human subject when at rest.<sup>18</sup> The possibility of the '9/4' stratum as a form of emblem, and perhaps the physiological significance of the primal metrical framework as a whole, thus finds confirmation, especially in the earliest of the examples: thus in Act One, Scene 4 of *Wozzeck*, as shown, Berg depicts the enraged doctor checking his pulse, as represented by tripletized crotchet-quaver patterns, against a 'respiratory span', represented by accompanying minim-crotchet patterns on string tremolandi, all of which – in each half-bar together – create a primal '9/4' stratum.<sup>19</sup> Berg would also seem to have used this perspective for the passage shown from *Lulu*, to capture the primal quality of Lulu in her 'Lied der Lulu', which the composer presents as a primal '9/4' stratum on account of the prevalent triplet quavers, as shown with the instruction '*Tempo des Pulsschalges*'.<sup>20</sup> Accordingly, importance attaches to snatches of primal '9/4' in the Allegro of the Violin Concerto, as shown, which would represent the life-force of the young girl, Manon Gropius at the point of her death from poliomyelitis.<sup>21</sup>

A 'phenomenological' account of the metrical process will of course show reluctance in acknowledging the role of biological processes during the perception of rhythm bar neural ones. Christopher Hasty's denial of the importance of kinetic functions of the body – however fundamental – indeed appropriately seems to strike a note of caution:

I do not suggest that we have a predilection for duple grouping. I do suggest, however, that the feeling of inequality [in triple time] results from a complication of projective/projected potential, a potential that is disposed towards equality. By this account, a disposition towards two-ness...would not result from the regulation of attention by heart or lungs (the two phases of

which are, in any case, unequal), or from our experience as bipeds (for if we had three or five legs we would still move by 'adjacent', immediately successive steps).<sup>22</sup>

At the same time, to notice the extent to which kinetic functions straightway reinforce metrical projection would also seem prudent:<sup>23</sup> Do we not also have a predilection for binary grouping – as investigation shows<sup>24</sup> – and indeed through the double action of the heart, lungs and feet? May not the complication of a projective/projected potential arise from the unequal activity of the heart and lungs? Does not the ready power of a primal framework derive at least partly from emblematic biological relationships as represented by a musical use of the terms 'pulse' and 'pace'? Given the unlikelihood of anyone discovering a means of denying that a primal framework reinforced by strong physiological parallelisms could play such a role,<sup>25</sup> the path seems right to allow that the phenomenological level of musical experience may draw on a variety of relevant inputs, not excluding the force of an incessant vascular activity that may very well render a listener to plain sets of pulse open to imaginary lilting 'precipitation'.<sup>26</sup>

From this perspective, jazz finds appreciation as the acme of musical 'heartiness',<sup>27</sup> and '2:1' as perhaps more likely in the listener's imagination as a form of parsing. In which case, a musical idiolect based on '1:1' will work in two ways: on the one hand, even with a lax tendency, as the mark of an authority that demands regulated conduct and will prompt a sense of strict 1:1 compliance; on the other hand, especially in that eventuality, as the polite strangulation of an impulse that, with the slightest prompting or even none, faces immediate, spontaneous outbreak. The enormous generic success of jazz and classical music separately suggests that these cases may culturally coexist, dominating, or not, through an occasionally complex mixture of expectation, overall context and an encounter with musical events. If the music written by Berg after his

**EXAMPLE 6.4**

Berg, *Der Wein*, bars 8-12

9 [ Sehr langsam ♩ = 36-44 ]

Fls./Vns. *pizz.*

*p* molto tranquillo

Bel.

Strs. *p* molto tranquillo

*cresc.*

11

*mp*

semiquaver triplets

*mf*

3

3

Entry of saxophone

*poco f*

3

12

Quavers feel parsed as a result in a swing-like manner

Sax.

*mf*

Vns. *pizz.*

Hp.

*mf*

Tpts./Tbns. *con sord.*

irrespective of subsequent duplets

earliest encounter with jazz provides the listener with large quantities of plain pulse to divide mentally, then a liting outcome may result. If, as an activity needing induction against the alternative possibility of a mental division into ‘strict’ 1:1, such a form of division should stem from a degree of cuing or ‘precipitation’ of imaginary response by the listener on Berg’s part, then possibilities for stylistic comment may well arise.



### 6.1 Imaginary lilting precipitation in *Der Wein*

At first glance, the present writer's experience of *Der Wein* appears the same as his experience of foreign parade music:<sup>28</sup> the extremely slow procession of quavers in the saxophone part at bar 11 always feels as though precipitating an imaginary sense of underlying '2:1' lilting, as shown in [Example 6.4](#). A very small amount of reflection nevertheless points to the effect as actually conditioned by the music, as at least partly due to the outburst of continuous semiquaver triplets on flutes, clarinets and pizzicato violins at the end of bar 10. That outburst precedes, intrudes upon, and thus strongly conditions, the more salient procession of quavers on saxophone and other high woodwind that enters and follows at that point;<sup>29</sup> and so the effect dominates the imagination thereafter, even creating insensibility to the variously duplet- or triplet-based fragments that return in the upper parts. At the same time, the outburst at bar 10 does not seem to account for the whole of the situation; for experience suggests that the leading-in passage of ordinary semiquaver-based syncopations on low clarinets at bars 8-10 sounds unstable, as if strongly inclined towards a triplet sensation. Careful reflection suggests that the assertive nature of the quaver pulse value established immediately at the start of bar 8, in part by the use of emphatic forms of enunciation such as staccato, plays an important part in this phenomenon, an idea that fits well with the idea of lilting as a natural kind of impulse, only waiting for 'precipitation'.<sup>30</sup>

Of course, merely to sound a few notes on the saxophone – whether with elements of jazz rhythmic stimulus or not – guarantees association with a swing-related milieu.<sup>31</sup>

The truth of this statement finds reflection in the lurid feeling of both sexual amorality and rhythmic laxity conjured up without much proximity to swing by the appearances in Berg's *Lulu* of the melody first heard as the Canzonetta in Act One, Scene 1.<sup>32</sup>

Such passages of saxophone music in Berg's works presage the later historical trend to link the instrument dramatically in this manner, as in a scene from the film *The Bad and the Beautiful* made in 1952:<sup>33</sup> in which, the main female character languishes in a state of drink-soaked depravity, but in the sax-haunted accompaniment to which no element of swing occurs at all. The importance of an underlying element of staccato attack, in precipitating the sensation described above, thus emerges more clearly from the fact that the imaginary effect readily disappears, notwithstanding any continuing presence of the saxophone, when the quaver processions grow less emphatic; thus the passage following the vocal entry at bar 15 sounds conventionally 'lieder-like' and straight, despite the saxophone quaver line that leads in at bar 20. As a result, other precipitating examples in the work turn out fewer than might appear likely, given the prevalence of simple quaver processions, in the opening and in recapitulations thereof.

If of limited span ostensibly, however, the 'precipitating' passages that occur provide a powerfully ambient mainstay for the piece as a whole: at bars 71-2; at bars 202-5; and, with further elements of conditioning, in the closing passage of bars 211-16; and arguably, as regards questions of primal metrical strength, such as arose earlier in connection with the Violin Concerto,<sup>34</sup> the lack in explicit, notated terms of more than a semi-subliminal element of '12/8 *Gigue*' stratum in *Der Wein*,<sup>35</sup> to link the '4/4 *Allemande*' of the main sections with the '6/4 *Menuet*'-cum-'3/2 *Sarabande*' of the scherzo part of this work,<sup>36</sup> turns out, as [Example 6.5](#) shows, an asset to the integrity of the work, in emerging within this particular context as a vacuum, ready to draw the imaginary cognitive faculties of the listener into an engrossed form of participation. A weakness viewed solely in terms of explicitly notated relationships thus emerges, when adduced from implicit but definitely imagined relationships, as part of a broadly

**EXAMPLE 6.5**

Berg, *Der Wein*,  
as an example of primal metrical segmentation

'Allemande 4/4'

bar (1)  $\text{♩} = 36-44$

bar 39  $\text{♩} = 46-52$

bars 51-52  $[\text{♩} = 46-52]$

'Gigue 12/8'

bar (11)  $[\text{♩} = 36-44]$

$[\text{♩} = 36-44]$

'Menuet 6/4'

bar 88  $\text{♩} = 60$

'Sarabande 3/2'

bar 97  $[\text{♩} = 60 \text{ as } \text{♩} = 90]$

bar 88  $[\text{♩} = 60 \text{ as } \text{♩} = 90]$

'9/4'

None clearly implicit

IMPLICIT

EXPLICIT

FURTHER EXAMPLES

imputable scheme; yet, as the 'jazz-like' function of this work hinges on an amalgam of rhythm and timbre,<sup>37</sup> appreciation of the composer's role in this situation does not arise until the tendril on alto saxophone from bar 152 in the scherzo;<sup>38</sup> at this point, the composer establishes a compact, in which presences and absences all form a part.

Although the experience of the present writer with this work awaits corroboration, an amount of experimental work has arisen in connection with audience responses to the music of *Lulu*,<sup>39</sup> which suggests a distinct quotient of likelihood of a listener finding accommodation with slow, empty beats in this way.<sup>40</sup> The presence of an element of imaginary lilting precipitation marks the whole of *Der Wein* as the most blatantly, if sluggishly, 'swing-like' of the last three of Berg's works, and, from a perspective drawn from the ideas of Harold Bloom,<sup>41</sup> the most imbued in an 'ironic' sense,<sup>42</sup> an unsurprising fact, given the historical position of the work and the concomitant link with the putative quote therein of the popular tune 'It had to be you':<sup>43</sup> but as a matter important to note, internal lilting precipitation in this work will operate at the primal '12/8 *Gigue*' stratum; the putative quote, out of the normal jazz range, at the primal '6/4 *Menuet*' stratum.<sup>44</sup> From a lack of admixture with moderate-to-quick swing effects by means of the approach followed later by Berg, therefore,<sup>45</sup> the style hovers on the edge of bad taste, for the blearing saxophone sonority combines with a severely restrained tempo to leave a sense of parody barely concealed, thus scarcely mitigated.

This fact may explain the negative opinion of Mosco Carner, who draws support from the expressionistically-biased view of Malipiero following a performance of the work at the Venice Biennale in 1934,<sup>46</sup> on which occasion, Berg had to accept substitution of the work after removal of his *Lyric Suite* from the programme on suspect, legalistic

grounds, and with reactionary criticism on the grounds of 'degeneracy' by the Nazi-influenced press.<sup>47</sup> Carner attempts to insist that Berg felt diffident about the work:

I do not consider *Der Wein* one of Berg's outstanding compositions, a view first put forward by Malipiero. It is not without significance for Berg's own feelings about it that at the mention of *Der Wein* an apologetic expression would always appear on his face.<sup>48</sup>

Whereas Malapiero could not help but try to make sense of this piece in the face of an overwhelming familiarity with *Wozzeck*,<sup>49</sup> however, Carner comments admiringly on the contrapuntal texture, presenting *Der Wein* as a preliminary study for *Lulu*.<sup>50</sup> As a result, his odd final dismissal of the piece – cited above – suggests subornment into a complicity with, and entrapment by a meretricious aesthetic, by the ghostly swing sensation precipitated by Berg in a tawdry sonic environment.<sup>51</sup> As stated above,<sup>52</sup> an appraisal of the primal metrical structure of *Der Wein* reveals aspects that give far more depth to Berg's approach to jazz than Carner has the capacity to acknowledge, that point to entrapment as an element of design. The composer's 'apologetic' attitude towards the piece, the citation of an account by his nephew,<sup>53</sup> may represent the diplomatic stance of someone who senses potential in the creative use of ambiguities.

#### **EVIDENCE OF BERG'S RESPONSE TO SWING. ITEM EIGHT:**

Given that a tentative exposure of the capacity that the contextualized processions of simple quaver pulses in *Der Wein* have to precipitate imaginary lilted sensations stands recognized as a premise for ongoing interest, therefore, the set of phenomena described above definitely deserves presentation as evidence in support of this thesis:

- The saxophone line in simple, uncluttered quavers from bar 10, and other similar passages in Berg's concert aria, *Der Wein*,<sup>54</sup> eminently, perhaps generally possesses the capacity to precipitate a '2:1-like' form of imaginary parsing during audition.<sup>55</sup>

- The triplet semiquavers on flutes, clarinets and pizzicato violins that break out of the preceding syncopated texture based on ordinary semiquavers point to an element of design in this respect;<sup>56</sup> the ordinary semiquaver-based passage from bar 8 also appears to play a part in the conditioning,<sup>57</sup> by virtue of introducing a 'liltily' precipitating element of staccato-related enunciation.<sup>58</sup>
- In addition, the primal metrical structure of the work leaves an empirical gap at the '12/8 Gigue' stratum,<sup>59</sup> and hence an implicative cognitive vacuum, which on a more subconscious level could represent an element of design.<sup>60</sup>

This example highlights the blues as an influence on the swing in slow jazz, rather as ragtime had contributed to the syncopation in rapid jazz.<sup>61</sup> Insofar as swing in rapid jazz arose from the musical vitality of New Orleans and vaudeville,<sup>62</sup> and insofar as the syncopation in slow jazz arose from vagaries of enunciation transferred from a higher temporal level,<sup>63</sup> a nexus of habits emerges by which black Americans would stand condemned via jazz as upstarts,<sup>64</sup> but consigned via the blues as outcasts.<sup>65</sup> Consequently, whereas 2:1 found a paradigmatic role at high and low tempi,<sup>66</sup> the blues as a slower kind of music would, if kept without association with the more lively forms of jazz, offer consolation to white people preferring not to encounter the 'licentiousness' of 2:1 at all.<sup>67</sup> The mood of defeatism that Berg creates in *Der Wein* by cordoning-off 'licentiousness' in the form of slow swing as a '12/8 Gigue' raises a suspicion that he might have remained limited in this way: if Berg had not developed any further, he would rate as a composer with only a little more interest in jazz than Zemlinsky, a friend at the time,<sup>68</sup> whose Symphonic Songs, Op. 20, composed in the summer of 1929 in parallel to *Der Wein*,<sup>69</sup> comprise 'primitively' enlivened settings of poems from *Harlem Resistance*, a fashionable anthology by black Americans.<sup>70</sup>

**VERDICT ON EVIDENCE, ITEM EIGHT:**

The evidence advanced conduces to a strong sense of probability that Berg wrote the saxophone line from bar 10 and other like passages in *Der Wein* as a response to the 2:1 lilt increasingly evident in the jazz of those times, perhaps quite consciously.

**6.2 Use of the broad 1:2:1 ratio in *Lulu* and the Violin Concerto**

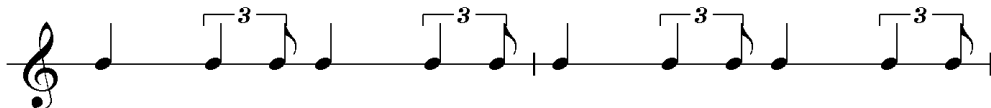
For anyone to whom, whatever feelings the passage in *Der Wein* may spontaneously arouse in him or her, the foregoing set of descriptions comes as completely novel, the most appropriate test of any observations made perhaps lies in the question of which form of alteration to the music by Berg would least injure the original spirit: the addition of a parallel set of staccato quavers?<sup>71</sup> or, as shown in Example 6.6, the addition of a jazz-swing shuffle underneath, played on a standard drum kit?<sup>72</sup> This test

**EXAMPLE 6.6**

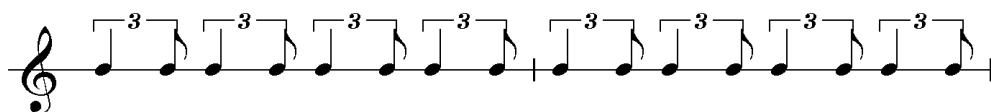
Standard jazz-swing shuffle

[ ♩ = ca.60 - ca.150 ]

Using brushes on susp. cymbal, hi-hat or snare drum



Implied underlying scheme of metrical parsing:



relevantly finds presentation in this study under the epithet of the ‘Swingle alteration test’, after the renown attracted in the 1960s by the Swingle Singers,<sup>73</sup> a French vocal group, who adapted pieces by J.S. Bach by arranging the original polyphonic textures for wordless choral enunciation, then performing the whole over a ‘modernized’ form of continuo of jazz-style piano and standard swing shuffle on drum kit.<sup>74</sup> For a piece

of music to pass this test would not imply that such treatment improved the music, only that the original felt more compatible with jazz than with music with staccato, 'un-swinging' semiquavers. The Swingle Singers did not improve the music of Bach, but highlighted the proximity of that composer to the world of Old French *inégalité*,<sup>75</sup> in this context, their avoidance of any music by Mozart seems extremely indicative!<sup>76</sup>

Insofar as the 'Swingle alteration test' may appear to limit expectations of imaginary liting precipitation to passages affected by the external kinds of conditioning met in *Der Wein*, however,<sup>77</sup> awareness grows of the power of aspects closer to the segments of fabric in question, such as the accentual forms of enhancement also encountered.<sup>78</sup> In this context, Frank Tirro's information, regarding the way in which the standard swing shuffle developed as a quadruple measure, out of the typical duple measure of early jazz,<sup>79</sup> and so, as shown in Example 6.7, led to a constant emphasis on the first,

### EXAMPLE 6.7

Standard jazz-swing shuffle, showing accentual differentiation in bass drum and cymbal parts [adapted from Tirro, *Jazz*: see p.237]:

[ Moderato ]

### EXAMPLE 6.8

Standard jazz-swing shuffle, as enunciating an underlying, broad ratio of 1:2:1 [adapted from Tirro, *Jazz*: see p.237]:

[ Moderato ]



**EXAMPLE 6.9**

The ratio 1:2:1 as suggestive of an underlying swing enunciation

1:      2:      1

Gap in the middle precipitates a feeling of

second and fourth beats at the expense of the third, enhances the power of association with swing enunciation of the broad 1:2:1 ratio created, as shown in [Example 6.8](#); thus to hear music governed by a broad 1:2:1 ratio may draw associations with the standard swing shuffle as so comprehensively established. Very arguably also, indeed, as suggested in [Example 6.9](#), the 1:2:1 ratio constitutes a pressure towards internal 2:1 enunciation through the metrical vacuum created in the middle of the bar; this idea fits with the idea of 2:1 as more natural than 1:1, but awaiting imaginary precipitation.<sup>80</sup>

This possibility – that the broad 1:2:1 ratio generates a natural feeling of internal swing-like springiness – finds support in the ease and grace with which, as shown in [Example 6.10](#), the reprise of the first dance in Borodin's *Polovtsian Dances* breaks into an elaboration in the high treble of a descant, consisting of a major key version of the rapid third dance in compound time, from which the reprise first arose. Support also lies in the fact that, in performances of the melodic line from bar 8 in the first movement of Brahms's Fourth Symphony, players usually add fleeting lilting distortions,<sup>81</sup> as shown in [Example 6.11](#), against an accompaniment dominated by the broad 1:2:1 ratio; thus a certain interest arises in the fact that, as shown in [Example 6.12](#), the distortions noted earlier in a performance of Berg's *Lyric Suite*,<sup>82</sup> also noted

**EXAMPLE 6.10**

Borodin, *Polovtsian Dances*, from Fig. O, bar 29 to Fig. P, bar 4

Moderato alla breve [♩ = ca. 80]

Strs./lower Ww.  
(p) dim.

**P** Upper Ww.  
Vcls. *f*  
*mf saltando*  
*mf cantabile assai*  
pizz.

**EXAMPLE 6.11**

Brahms, *Symphony No. 4 in E minor*, Op. 98, bars (8)-14

[ Allegro non troppo ]

Vns. 1  
[ p ]  
Wind.  
Dbs. p.

**EXAMPLE 6.12**

Berg, *Lyric Suite*, 'Andante Amoroso', bars 128-132 [omitting Violin 1 & Cello]

[ accelerando ] - - - - - (♩ = 69)

Vn. 2  
Vla.  
*molto f fp*  
*f fp*  
*f fp*

as linked by melodic similarity to distortions in the Brahms example,<sup>83</sup> run fleetingly over an accompaniment dominated by a broad 3:1 ratio, as compatible to the broad 1:2:1 ratio. Although the close correspondence of the Berg example with the Brahms example counters the idea of advancing this fact as formal swing-relatable evidence, the former composer's approach to the stylistic manner of the latter composer at a most unfashionable moment,<sup>84</sup> and the coincidence thereof with an improvement of his view of jazz,<sup>85</sup> do not conflict with a sense of readiness for future developments.<sup>86</sup>

Although the above ideas may relate to the way in which the listener hears the flute arabesque from bar 31 in *Der Wein*, noted above,<sup>87</sup> through the swaying syncopated quavers at that point on horns, the first major application of this insight to Berg's music arises with winsome melodic shapes for woodwind that repeatedly enunciate a figure of  $\frac{1}{2} \frac{1}{4} \frac{1}{4}$  in Act Two Scene 1 of *Lulu*, at bars 276-7, and in the corresponding passage in Scene 2, as shown in Example 6.13. As also shown, the passage intensifies the use of this figure in the passage with heavy elaboration by the springing piano chords in bar 278, noted in the earlier discussion about polyrhythm.<sup>88</sup> The connection of the broad 1:2:1 ratio described by this figure as an imaginary lilting precipitant would help to explain the attitude towards this passage by the present writer, as well as a sizable proportion of the audience at a seminar given by him on the subject in York, in October 2004.<sup>89</sup> Of course, to bring the idea of lilting more directly to the attention of the listener, by association with steady, simple pulses brings the issue of parody to the fore again;<sup>90</sup> yet happily so given techniques of mitigation as flexible for swing as techniques of mitigation applied to syncopation by Stravinsky and others.<sup>91</sup>

As a series of durations that in the form of a piano accompaniment held a fascination for composers of salon pieces such as Rubinstein in his *Melodie* in F of 1852, or Elgar

**EXAMPLE 6.13**

Berg, *Lulu*, Act Two, Scene 1, bars (275)-278

[♩ = 69]

With tripletized anacrusis

Also note

**EXAMPLE 6.14**

Burke (to words by Dubin), 'Tip toe through the tulips' [1929], refrain, bars (0)-8

[Moderately]

in his *Salut d'amour* of 1888, this rhythm of course contains only the most sedate kind of syncopation, and so would have lacked appeal for the progressive jazz musicians of Berg's time:<sup>92</sup> this very syncopation would overly have transfixed the melody as a coy expression, defying raucous ex tempore assimilation except by way of lampoon. The comparatively respectable prevalence of 'symphonic' jazz during the late 1920s and early 1930s nonetheless additionally points to the importance of sedate derivatives of

black American music as a medium by which a sensitive classical musician might comprehend the possibilities in a genre unavoidably linked with raucous practices.<sup>93</sup>

In the context of an enquiry into influences on a composer as artistically committed as Berg, therefore, the skeletal resemblance of this rhythm to the tune 'Tip toe through the tulips' instantly springs to mind, as shown in Example 6.14. As a song featured in the film *Gold-diggers of Broadway* released in 1929,<sup>94</sup> the tune represents one that Berg would at least as probably have encountered in this period of his life as 'Tea for two'.<sup>95</sup> In which case, influence on the feature in *Lulu* perhaps occurred consciously.

The extent to which 'Tip toe through the tulips' has receded as a tune with immediate auditory associations since Berg's day serves greatly to highlight the way in which the underlying rhythmic scheme enforces a sense of imaginary lilted entrainment, even when shorn of swing enunciation.<sup>96</sup> The very sedateness of this syncopation in Berg's music provides an incitement to parse empty quavers liltedly: thus the lift after the second quaver carries through a hint of springiness, imparted by the staccato attack on the first, by allowing the possibility of imagining at that moment as though impiously a shuffle rhythm lightly enunciated on snare drum.<sup>97</sup> Naturally, this effect implies a continuation of the swing shuffle effect, an idea not hindered by the slur into the next group from the quaver after the rest. Furthermore, as shown above, Berg adds, via the semiquaver triplet anacrusis on cor anglais in bar 275 and 277, a pronounced feeling of likelihood that these prognostications from psycho-acoustic premises represent the level of imaginative entrainment that he wishes to encourage in the passage generally.

The springy internal effect of rhythms governed by the broad 1:2:1 ratio naturally serves to return attention to the way in which, in this example at least, the first attack

**EXAMPLE 6.15****(a)** Berg, *Lulu*, Act One, Scene 2, bars (278)-280

[ ♩ = 138 ]

Cls.

*poco f*

**(b)** Jerome Kern (to words by Otto Harbich) 'The night was made for love', bars 9-16, as performed by Carroll Gibbons and his Boyfriends (March 1932), in medley *The cat and the fiddle*, on CD, Vocalion EA 6073, track 4

[ ♩ = ca. 138 ]

Accompanied by a light swing shuffle: ♩ ♩ ♩ ♩ etc.

Sax./Tpt.

Db.

8<sup>va</sup>

earns an acoustic augmentation by Berg in the form of a staccato dot.<sup>98</sup> Probably on this account, not just from general association in the vicinity, the music of the transitional theme shortly prior, which links the main Alwa theme to Variant 1(a), gains a feeling of affinity at bar 243 with the contemporaneous species of salon music despised by T.W. Adorno,<sup>99</sup> resembling, for example, the suave, discreetly scored nuances of 'The night was made for love', a tune by Jerome Kern, recorded in March 1932 by Carol Gibbons and his Boyfriends:<sup>100</sup> both examples start with an enunciated 'dot', as the release point for a charming melodic outpouring.<sup>101</sup> As Berg did not start to compose Act Two of *Lulu* until June 1932,<sup>102</sup> he may have heard such recordings as a casual form of input.<sup>103</sup> Gibbons's work with this group and more famously as the leader of the Savoy Orpheans, a London dance orchestra based from the 1920s in the ballroom of the hotel of that name,<sup>104</sup> very arguably represents the closest to classical

music that swing-oriented music managed to develop in an entertainment context,<sup>105</sup> if only by courtesy of Berg's style; indeed, as suggested in Example 6.15, bars 278-280 from *Lulu*, Act Two would not sound ridiculous running into bars 9-16 of that tune.<sup>106</sup>

**EVIDENCE.OF BERG'S RESPONSE TO SWING, ITEM NINE:**

Given the above set of deliberations, therefore, the syncopations in the Alwa-related transitional theme in Act Two, Scene 1 & 2 of *Lulu*, and in the first movement of the *Lulu-Suite* deserve appraisal as a response by Berg to swing on the following grounds:

- For a variety of psycho-acoustic reasons, the broad 1:2:1 ratio described by the syncopations may well precipitate on the listener's part an imaginary sense of lilt within the quaver unit.<sup>107</sup>
- Berg augments the likelihood of this precipitation by inserting triplet semiquaver 'twists' on the cor anglais;<sup>108</sup> this fact of course suggests a degree of awareness on his part.
- Connection with 'tip toe through the tulips' seems likely,<sup>109</sup> a tune not exactly central to the jazz of those times, but very much orientated within a lilt metrical context.<sup>110</sup>
- Bars 278-80 from Act Two, Scene 1 of *Lulu* associate thematically and affectively with jazz-related salon music of the 1930s,<sup>111</sup> drawing attention to the important, 'precipitating' capability of a single staccato dot.<sup>112</sup>

**VERDICT ON EVIDENCE, ITEM NINE:**

The evidence advanced conduces to a strong sense of probability that Berg wrote the syncopations in the Alwa-related transitional theme in Act Two, Scene 1 & 2 of *Lulu*, and in the first movement of the *Lulu-Suite* as a response to the 2:1 form of lilt growingly evident in the jazz of those times, and that he possibly did so consciously.

As a filled-out syncopated figure, the broad 1:2:1 ratio also features in the Violin Concerto: more modestly, but more pervasively; and, as the sound that starts the main business of the movement at bar 11, as shown in Example 6.16, more structurally significant. In this manifestation of the ratio, the manner of enunciation changes to the

### EXAMPLE 6.16

Berg, Violin Concerto, I/1, bars 11-20

[ ♩ = 56 ]

Solo Vn. *pp ma espress.*

Bns. *pp*

Hn. *con sord. p dolce*

Vcl. *p*

Db. solo *p*

Hns. *con sord. p*

one favoured in the light classical pieces mentioned:<sup>113</sup> Berg fills in the rest that in *Lulu* separates the second from the third quaver, and breaks up the slur that in that work connected one complete figure with the next. While the premise of an empty series of pulses subject to imaginary tilting precipitation does not change,<sup>114</sup> this new manoeuvre has an effect of altering the rhythmic mood: the coltish sensation produced by the slur in *Lulu* yields, on the removal thereof, a more lyrical kind of effect.<sup>115</sup> As an effect already noted as used by the Berg at one point as the basis for an allusion to jazz by means of timbre,<sup>116</sup> this figure later on finds a more lively form of couching,



**EXAMPLE 6.17**

Berg, Violin Concerto, I/1

**(a)** bars 73-77

[♩ = 56]

Musical score for Example 6.17(a), bars 73-77. The score is for Solo Violin, Trumpet (Tpt.), Trombone (Tbn.), Clarinet (Cls.), and Strings (Strs.). The Solo Violin part features a series of triplet eighth notes. The orchestral accompaniment includes a crescendo leading to fortissimo (ff) for the Trumpet and Trombone, and a decrescendo (dim.) for the Clarinet and Strings, ending in piano (p).

**(b)** bars 84-89

[♩ = 56]

Musical score for Example 6.17(b), bars 84-89. The score is for Solo Violin and Piano. The Solo Violin part features a melodic line with a mezzo-piano (mp) dynamic. The Piano accompaniment is marked piano (p) molto espress. and includes a decrescendo (pp) followed by a crescendo (cresc.) leading to piano (p).

at the point of recapitulation in the Andante: after a great amount of Romantically- and impressionistically-influenced ‘scrambling about’ in the solo part against simpler rhythms in the orchestra, as shown in Example 6.17, a reprise of the syncopated material that opens the main part of the Andante at bar 11 breaks out into the upper woodwind registers, with an undeniable, and indeed enhanced feeling of springiness.

The infectious liveliness of this event nevertheless cannot hide the difference in manner of the syncopated music in this work as opposed to the manner in *Lulu*; hence, in the Violin Concerto, for sensible, respectful purposes,<sup>117</sup> Berg discards an element of parody that has crept into his opera; the broad 1:2:1 ratio emerges finally as imbued with a more modest form of swing- and jazz-relatable aspect. If the use of that ratio in *Lulu* produces an effect of parody,<sup>118</sup> thus of ‘irony’, and so connects to aspects noted

### EXAMPLE 6.18

Berg, Five Orchestral Songs, Op. 4, No. 5, bars 50-55

50 Noch zurückhalten

The score shows five staves. The top staff is for Trumpets (Tpt.) with dynamics *con sord.* and *pp*. The second staff is for Trombones 1 and 2 (Tbn.1, 2) with dynamics *con sord.* and *pp*. The third staff is for Trombones 3 and 4 (Tbn.3, 4) with dynamics *con sord.* and *pp*, and includes a box containing the sequence "1: 2: 1". The fourth staff is for Percussion (Hp./Timps./Dbs.) with *pizz.* and includes a box containing "1: 2: 1". The bottom staff is for strings (Strs.) with dynamics *pp*. The text "Noch zurückhalten" is written above the first staff.

### EXAMPLE 6.19

Berg, Three Orchestral Pieces, Op. 6, No. 1 ('Präludium'), bars (11)-(13)

[ Langsam ]

The score shows three staves. The top staff is for Bassoon (Bns.) with dynamics *ff*. The middle staff is for strings (Strs.) with dynamics *ff* and includes boxes containing "1: 2: 1" and "(1): 2: 1". The bottom staff is for Trombones (Tbns.) with dynamics *ff*. The tempo marking "[ Langsam ]" is written above the staves.

### EXAMPLE 6.20

Berg, *Wozzeck*, Act One, Scene 4, bars 623-627

molto accel. [ Prestissimo ]

Doktor

The score shows five staves. The top staff is the vocal line for the Doctor (Doktor) with lyrics "Oh mein Ruhm!". The second staff is for Piccolo/Oboes (Piccs./Obs.) with dynamics *fp*. The third staff is for Bass Drum (B.D.) and Cymbals/Castanets (Cls./Cel.) with dynamics *f*. The fourth staff is for Trombone (Tba.) with dynamics *mf*. The bottom staff is for Violins (Vcls.) with dynamics *mf*. The tempo markings "molto accel. [ Prestissimo ]" and "Doktor" are written above the staves.

in *Der Wein*,<sup>119</sup> as part of the scheme by which – in line with the precepts of Harold Bloom<sup>120</sup> – the tripletized crotchet-quaver patterns in the opera form a kind of musical ‘synecdoche’,<sup>121</sup> the polyrhythm in that work a species of ‘metonymy’,<sup>122</sup> or, as in the Violin Concerto, ‘hyperbole’-cum-‘litotes’,<sup>123</sup> then the syncopations in that last work of Berg’s stand for a new form of association with swing: very congruently, as a form of ‘metaphor’,<sup>124</sup> described by Bloom as ‘the attainment of a state of solitude’,<sup>125</sup> by which ‘[the composer can] separate himself from others, including [jazz swing] as the precursor’.<sup>126</sup> With exquisite symmetry, this change allots the sixth and final place in Bloom’s scheme jointly to the tripletized crotchet-quaver patterns at bar 30-1 in the Andante of the Violin Concerto,<sup>127</sup> and the *Hauptrhythmus* of the Allegro,<sup>128</sup> as forms of musical ‘metalepsis’,<sup>129</sup> so aptly fulfilling a function as ‘the return of the dead’.<sup>130</sup>

Not surprisingly, Berg used the broad 1:2:1 ratio or other like effects in the earlier part of his career. As shown in [Example 6.18](#), the conclusion to the last of the *Altenberg Lieder* draws attention. As shown in [Example 6.19](#), a sudden outburst of forceful bass sonorities in the ‘Präludium’ from the Three Orchestral Pieces, Op. 6 creates a terrible military march, as of a vast, reluctant army of the dispossessed, shortly to meet their doom in the Great War.<sup>131</sup> Berg generates the foot-dragging quality of this music by vague string sextuplets, congruently underpinning a broad 1:2:1 ratio invoked by the horn. In *Wozzeck*, during Act One, Scene 4, as shown in [Example 6.20](#), Berg creates a 1:2:1-like effect also congruently elaborated by a frantic burst of clarinet triplets to depict the Doctor’s megalomania. The parody aspect serving as a stylistic mediation in the last two examples finds a more tender form of application – though ironically transfixed – in the reappearance from bar 669 in Act One, Scene 5 in *Wozzeck* of the syncopated figure from the military band music, cited earlier,<sup>132</sup> for a lilting sense of charm during the Drum Major’s seduction of Marie. In the present study, however,

only the example from the *Altenberg* Lieder arouses interest, as in some sense a prototype for this approach, but obviously embodying a wish to limit the vernacular notion of, say, 'funeral march' by parsing the music in slow triple time.<sup>133</sup> Once again, Berg's 'style of first sensuousness' differs from his 'style of second sensuousness'.<sup>134</sup>

**EVIDENCE OF BERG'S RESPONSE TO SWING. ITEM TEN:**

To judge from the foregoing deliberations, therefore, the syncopations in the Allegro from Berg's Violin Concerto stands as a response to swing on the following grounds:

- For a variety of psycho-acoustic reasons, the broad 1:2:1 ratio described by the syncopations may well precipitate on the listener's part an imaginary sense of lilt within the quaver unit.<sup>135</sup>
- Berg connects the appearance of these rhythms in his Violin Concerto with a purposeful use of jazz-related instrumentation.<sup>136</sup>
- The more modest function of the ratio in this work plays a powerful part, in synthesizing an awareness of Berg's response to swing as maturing overall through a predictable series of phases;<sup>137</sup> to employ the terms introduced by Harold Bloom,<sup>138</sup> the syncopations in the Violin Concerto finalize this sense of fulfilment by standing as a musical form of 'metaphor',<sup>139</sup> which contrasts with the syncopations in *Lulu* as a form of 'irony',<sup>140</sup> and with the small group of tripletized crotchet-quaver patterns in the Andante, and the *Hauptrhythmus* of the Allegro of the concerto, as jointly a species of musical 'metalepsis'.<sup>141</sup>

**VERDICT ON EVIDENCE. ITEM TEN:**

The evidence advanced conduces to a strong sense of probability that Berg wrote the syncopations in the Allegro from Berg's Violin Concerto as a response to the 2:1 form of lilt obvious in the jazz of those times, conceivably with some awareness.

### 6.3 Endnotes for Chapter Six

- (1) See page 262 above.
- (2) See page 150 above.
- (3) Many pre- and post-1918 examples spring to mind, from the output of composers such as Debussy, Prokofiev, Hindemith, Poulenc, Stravinsky, Bartók, and so forth.
- (4) Continual non-legato quavers in 6/8 in the first movement; non-legato semiquaver and demisemiquaver elaboration in the second movement; a toccata-like *moto perpetuo* of non-legato semiquavers in the finale.
- (5) See Ex. 4.40 (c) (page 209 above), with regard to the primal '4/4 *Allemande*' stratum; thus attacks at the even-numbered semiquaver points, or at the 1<sup>st</sup>, 5<sup>th</sup>, 9<sup>th</sup> etc semiquaver points would remain as the only ones of interest.
- (6) See pages 166, 254, 257 above.
- (7) See Ex. 5.22 (page 257 above).
- (8) See pages 258-61 above.
- (9) See Ex. 4.5; page 153 above.
- (10) Apart from in the 'Love Theme', as mentioned: at Lulu's appearance as a snake in the Prologue, from bar 43; in the painter's chordal figure, I/1, from bar 124; and in the Canzonetta, I/1, from bar 257.
- (11) In other words, a continuous textural barrage of higher-than-bass staccato semiquavers will immediately reinforce the listener's 1:1-biassed sense of metrical propriety.
- (12) Eric Taylor deals with 1:1 forms of division in Chapter 1 of *The AB guide to music theory*, Book 1 (London, 1989), leaving triplets and compound time to Chapter 3.
- (13) Benidorm, 18/04/03.
- (14) See pages 208-10, 213-4 above.
- (15) The connection of the term 'pace' with the ubiquitous currency of musical marches deserves no further comment.
- (16) See *sub verbo* 'Heart', NEB, 15<sup>th</sup> edition, Vol. 5, pp.782-783.
- (17) Compare: Ex. 6.2 (page 289 above); Ex. 4.40(c) (page 209 above).

- (18) To judge by the present writer's observations, the respiratory cycle when at rest covers a span of about 30 per minute, with an 'in-out' anacrusis ratio of about 3:5.
- (19) Each span of the primal '9/4' stratum corresponds to one half of each bar of the passage from *Wozzeck*, as running by implication from Berg's metronome specifications at a rate of 20 per minute.
- (20) Trans. 'In the tempo of the human pulse'.
- (21) Manon, the daughter of Alma Mahler Werfel by her second marriage, died of this disease at the tragically young age of 17; Berg dedicated his Violin Concerto to her memory; see Mosco Carner, *Alban Berg: the man and his work* (London, 1975, revd.1983), p.86.
- (22) Christopher Hasty, *Meter as rhythm* (New York, 1997), p.137.
- (23) Note the section on 'Proportional tempo: biological bases', David Epstein, *Shaping time: music, the brain and performance*. (New York, 1995), pp.135-155.
- (24) See Paul Fraisse, *Les structures rythmiques* (Paris, 1956), p.10.
- (25) See: endnote VI (15); endnote VI (17).
- (26) Note the report on empirical research in G. & H. Harrer, 'Music, emotion and autonomic function', (1977), as cited in Epstein, *Shaping time*, pp.151-152.
- (27) Arlene Phipps: 'The jive is dance to the rhythm of the heartbeat', comment on the 2:1-based dance tune, 'Rockin' robin', as made on TV programme, *Strictly Come Dancing*, BBC1, 25/12/06; thus, since the 'systole' phase of the cardiac cycle involves an absolutely and promptly required contraction so as to pump blood round the body in the first place, whereas the 'diastole' phase involves a subsequent moment of relaxation that allows for will-directed alteration, the long-short effect created will correspond to the effect of rapid jazz swing by approaching 1:1 as the overall cardiac rate increases.
- (28) See pages 287-8 above.
- (29) To corroborate this idea further by way of negative comparison, bars 318-324 from the Adagio of Berg's Chamber Concerto present a set of conditions that give rise to expectations that remain unfulfilled: for, in spite of the slow, blues-like melody on cor anglais that rises at bar 323 over a series of slow, very blues-like pulses does not feel available for internal lenient parsing at the e=96 level that would act as a primal '12/8 Gigue' stratum; this fact probably

means that the clipped staccato of the quavers at bars 390-21 in the transition into very slow pulses counteract an effect that would otherwise have arisen.

- (30) See pages 288, 292 above.
- (31) See pages 46-9, 153 above.
- (32) See Ex. 3.3 (page 90 above).
- (33) Film, MGM, *The bad and the beautiful* (USA, 1952), on video, Vintage Classics 5056870 (USA, 1998).
- (34) See Section 4.5.1 above.
- (35) See pages 210, 295-7 above. The idea of a deficiency in this sense particularly applies in view of the extreme cross-accentual dislocation applied to the semiquaver sextuplet outburst on piano and glockenspiel at bar 50-55. In performances such as under Boulez, that quotient vanishes altogether, as subsumed by a naturally ongoing manner of interpretation into the primal 'Allemande 4/4' stratum, contrary to Berg's slow metronome marking.
- (36) See page 235 above.
- (37) See pages 49, 64, 153 above.
- (38) See page 235 above.
- (39) 'The need for two kinds of rhythmically variable isometry when evaluating Berg's debt to jazz', York, 27/10/04.
- (40) About 40% positive response from the audience in this respect.
- (41) See page 160 above.
- (42) See page 160 above.
- (43) See: Section 3.2.2; page 260 above.
- (44) The metronome mark of Tempo 1 allows for a primal metrical span running at 12 – ca. 15 per minute, with the saxophone quavers from bar 10 enunciating the 'dotted crotchets' of the '12/8 Gigue' stratum, and the tripletized crotchet-quaver pattern of the putative jazz-related quotation enunciating 'minim plus crotchet' values at the '6/4 Menuet' stratum; see endnote VI (35).
- (45) See pages 177-8, 261 above.
- (46) See Carner, *Alban Berg*, p.111.
- (47) See *ibid*, p.80-84.
- (48) See *ibid*, p.112.
- (49) See *ibid*, p.82.
- (50) See *ibid*, p.75.

- (51) Adorno's estimation thus finds fulfilment:
- Kitsch, not tastefully dismissed but rather extended by its own laws, is, under these compositional hands, transformed into style; thus the banal stands revealed as the phenomenon of the commodity and thus as the prevailing societal premise: but at the same time as a cipher of its downfall.
- In trans. *Alban Berg, Alban Berg: master of the smallest link* (Cambridge, 1991), p.117.
- (52) See pages 295-7 above.
- (53) See Erich Alban Berg, *Alban Berg: Leben und Werk in Daten und Bildern* (Frankfurt-am-Main, 1976), p.34.
- (54) See pages 153, 294, 295 above.
- (55) See pages 288, 292 above.
- (56) See page 294 above.
- (57) See: Ex. 2.29 (page 70 above); page 294 above.
- (58) See pages 294-5 above.
- (59) See: pages 210, 295-7 above; endnote VI (34).
- (60) See pages 295-7, 298 above.
- (61) See Tirro, *Jazz: a history* (London, 1977), p.150-4.
- (62) See *ibid*, p.161.
- (63) See André Hodeir, trans. *Jazz: its evolution and essence* (London, 1956), p.214.
- (64) See John Storm Roberts, *Black music of two worlds* (London, 1972, 2<sup>nd</sup> Edit. 1973), p.221.
- (65) See *ibid*, p.222.
- (66) See page 87 above.
- (67) See pages 105-6 above.
- (68) See Antony Beaumont, *Zemlinsky* (London, 2000), p.341.
- (69) See *ibid*, pp.360-362.
- (70) In German, *Afrika Singt*, ed. Anna Nussbaum (1929), cited in *ibid.*, p.360n.
- (71) See page 286 above.
- (72) See Tirro, *Jazz*, p.237-8.
- (73) See *Sub verbo* 'Swingle, Ward (Lamar)', NGDJ2, ed. Barry Kernfeld, Vol. 3, p.698.



- (74) Representative examples on LP, Philips BL 7572, *Jazz Sebastian Bach: Les Swingle Singers* (London, 1965).
- (75) See David Fuller, 'Notes inégales', NG1, Vol. 13, p.420; interestingly, Fuller regards the suavity of *inégalité* as the authentic historical precedent for swing in jazz; see *ibid*, 'Notes inégales', p.425.
- (76) The continual rhythmic terseness of Mozart's music obviously cuts across the licentious practices of the *Ancien régime*.
- (77) See pages 294-5 above.
- (78) See pages 294-5 above.
- (79) See Tirro, *Jazz*, p.161
- (80) See pages 288, 292 above.
- (81) In all of the interpretations of this work that the present writer has heard.
- (82) See pages 273-6 above.
- (83) See pages 275-6 above.
- (84) See Malcolm Macdonald, *The master musicians: Brahms*. (London, 1990), p.vii.
- (85) See pages 29-30 above.
- (86) See Chapter Four.
- (87) See: Ex. 5.25 (page 264 above); page 265 above.
- (88) See: Ex. 4.10; page 171 above.
- (89) See endnote VI (39): about 40% of the audience felt that the music had by that point in the piece acquired an internal sense of flexibility.
- (90) See: Section 3.2.1; pages 196-7 above.
- (91) See page 100 above.
- (92) See Storm Roberts, *Black music of two worlds*, p.202.
- (93) See pages 8, 12, 13-14, 45 above.
- (94) See Ronald Pearsall, *Popular music in the Twenties* (Totowa, NJ, 1976), p.116.
- (95) See pages 34, 37-8 above.
- (96) See pages 301-2 above.
- (97) See pages 300-1 above.
- (98) See pages 294-5 above.
- (99) See Adorno, 1936, trans. 'On jazz', *Discourse*, 12(1) (1989), p.60.

- (100) From medley, *The cat and the fiddle*; on CD, Vocalion EA 6073, *Hitting a new high: Carroll Gibbons and his Boyfriends*, Vol.2 (Watford, Herts. UK, 2002), track 4.
- (101) Both in the Berg and in the Gibbons, a pronounced staccato-type effect gives way immediately to a sinuous melodic outpouring; in the latter case, the attack consists of a string bass pizzicato.
- (102) See Jarman, *Alban Berg: Lulu* (Cambridge, 1991 (a)), p.5.
- (103) See pages 30, 31-2 above.
- (104) See Bob Francis, booklet note to CD, Vocalion CDEA 6030, *Dinner at eight*.
- (105) Gibbons developed the subtlety of nuance offered by such arrangements by learning from criticism levelled from the hotel establishment over his early excess of syncopation as a salon pianist: see Francis, booklet note to CD, *Dinner at eight*, p.3.
- (106) Demonstrated at the lecture referred to in endnote VI (39), by playing back a spliced link-up of the two passages on recordable CD: 50% of the audience thought that the link-up sounded natural; thus, whereas a Berg-Cole Porter connection should subsist through a shared interest in melodic chromaticism but does not, a blither Berg-Jerome Kern connection should not subsist – from an expressionistic perspective – but does.
- (107) See pages 301-2 above.
- (108) See: Ex. 6.13; pages 305-6.
- (109) See pages 303-6 above.
- (110) See Ex. 6.14 (page 305 above).
- (111) See page 307 above.
- (112) See page 294 above.
- (113) See pages 304-5 above.
- (114) See pages 288, 292 above.
- (115) Of course, the gentleness of the enunciations fits well with the associated passages of legato coextensive polyrhythm, and general metrical richness of the piece; see Section 4.6.1.
- (116) See pages 126-9 above.
- (117) See endnote VI (19); Berg's dedication reads 'Den Andenken eines Engels', trans. 'To the memory of an angel'
- (118) See page 304 above.

- (119) See pages 160, 297-8 above.
- (120) See page 160 above.
- (121) See page 160 above.
- (122) See page 160 above.
- (123) See pages 190, 207 above.
- (124) See Harold Bloom, *A map of misreading* (New York, 1975), pp.84, 100-1.
- (125) See Harold Bloom, *The anxiety of influence* (New York, 1973), p.15.
- (126) See Bloom, *The anxiety of influence*, p.15.
- (127) See pages 126-9 above.
- (128) See pages 111-4 above.
- (129) See Bloom, *A map of misreading*, pp.84, 101-3.
- (130) See Bloom, *The anxiety of influence*, p.15.
- (131) See Perle (1980); cited in Derrick Puffett, 'Berg, Mahler and the Three Orchestral Pieces Op. 6'. *The Cambridge companion to Berg*, ed. Anthony Pople p.142.
- (132) See Ex. 2.33 (page 72 above).
- (133) The slow triple time of this passage naturally represents the primal '3/2 *Sarabande*' stratum; as with as other works from this phase of Berg's stylistic development, the composer isolates that stratum severely from the other strata that he uses; see Appendix D.
- (134) See pages 258-61 above.
- (135) See pages 288, 292, 301-2 above.
- (136) See pages 126-9 above.
- (137) Compare: pages 310-12 above; Bloom, *A map of misreading*, p.84; schematic grouping of stages, or 'ratios' by this author into three dialectical pairs, finds a very strong reflection in the overlapping shift in emphasis during Berg's 'style of second sensuousness', from tripletized crotchet-quaver patterns, to legato coextensive polyrhythm, to the broad 1:2:1 ratio and associated effects.
- (138) See page 160 above.
- (139) See page 312 above.
- (140) See page 310 above.
- (141) See page 312 above.

**– CHAPTER SEVEN –  
BERG'S AESTHETIC ROLE  
IN THE POST-SWING ERA**

In the main, the style of Berg's music falls without any doubt under the category of 'musical modernism'. Even in the early days of artistic regrouping after World War Two, when, after the demise of German National Socialism, the brighter prospect for this composer's image seemed hampered by the view of his style by luminaries of the post-1945 avant-garde, as over-reliant on the past, insufficiently progressive,<sup>1</sup> Berg still stood as a name with which these figured had to contend.<sup>2</sup> In an assumed trajectory of future development based on a progression from Schoenberg to Boulez,<sup>3</sup> they could not deny the technical richness of his works.<sup>4</sup> If only as a backward-looking composer, Berg had amply earned inclusion in the inner circle of modernist pioneers; and the continuing box-office viability of *Wozzeck* and the Violin Concerto ensured that at least informed members of the public would see Berg from this angle.<sup>5</sup> With the collapse of the Schoenberg-Boulez premise,<sup>6</sup> with the disintegration as the twentieth century drew to a close of any hope that the syntactical precepts of musical modernism could transform the common approach, as the precepts of the Renaissance, Baroque and Romantic musicians of old had done,<sup>7</sup> however, Berg stands unusually ambivalently placed: technically 'modern', but aesthetically clearly 'post-modern'.<sup>8</sup>

The combination of these factors with the quality of Berg's work singles him out for identification as a role-player, as in effect occurs with J. Peter Burkholder's summary in the essay, 'Berg and the possibility of popularity'.<sup>9</sup> This writer represents Berg as achieving a radical break from modernistic opposites, implicitly from aesthetic policy:

There are only a few classical composers of [Berg's] generation who have more successfully captured the interest of both audiences and experts, notably Mahler, Debussy, Stravinsky, and Bartók. Sibelius, Rachmaninoff, and Ravel

are all much more popular with audiences than Berg, but tend to be slighted by theorists and historians, especially in the United States; on the other hand, composers like Schoenberg, Webern and Varèse have assumed tremendous importance for composers and scholars while provoking an enduring distaste among concert-goers. Given such a polarization of taste, what makes Berg particularly interesting is the extremity of his position; among composers of the first half of the twentieth century who scored such success with the public that they could live solely on the income from their compositions, Berg's music was by far the most radical and innovative; among the radical composers of that era, particularly of the German atonal school, his music was (and remains) easily the most widely accepted.<sup>10</sup>

To the extent that, perhaps through the difficulty of composing music with symbolic depth in an age wholly given over to the indexations of material consumption,<sup>11</sup> 'post-modernism' does not solve the tensions of modernism, does not produce names after the manner of Wagner, Schoenberg and Boulez, this role of Berg's might even start to acquire a messianic feel. The conductor Antal Dorati thus not inappropriately refers to the composer as a 'modern musical Saint Christopher':<sup>12</sup> for the premiere of the three-act version of *Lulu* in 1979 to stand so signally unrivalled as an event in the modern music calendar of those times,<sup>13</sup> suggests that the composer indeed exhibits a strength that could conceivably have vast cultural ramifications. In which case, an enlargement of Burkholder's view of Berg's role to incorporate one as mediator of the acoustic metrical difference of straight music from swing may appear interesting, but perhaps no more than part of the expectations in this area, no more than an important footnote.

This assumption nevertheless proves inadequate on two accounts, the first of which concerns the extreme degree of cultural and racial sensitivity attaching willy-nilly to the straight-swing boundary.<sup>14</sup> As described and discussed extensively earlier in this study,<sup>15</sup> the 2:1-type form of enunciation found progressive stigmatization during the nineteenth century and especially the first half of the twentieth century as a trivial and eventually, by overwhelming attachment to legato forms of enunciation, a 'lubricous'

form of rhythm; so the very attractiveness of that form in the 1920s and 1930s has proved an artistic obstacle, one irretrievably marked by racist forms of association.<sup>16</sup> The validity of this assertion lies in the fact that no serious form of musical venture associated with the classical tradition, let alone one with 'avant-garde' aspirations,<sup>17</sup> can afford to introduce a 2:1 lilting effect, whereas in practice the most extreme forms of experimentation in jazz will quickly resort to an underlying use of a standard swing shuffle on the drum kit.<sup>18</sup> Consequently, Berg takes on his shoulders the burden of maintaining an aesthetic position within the vacuum generated by this stigmatization.

The second point that increases the significance, especially of Berg's unusual return in the last three of his works to a use of legato coextensive polyrhythm,<sup>19</sup> lies in the fact that the replacement of jazz as the main form of popular music, by rock and roll from the 1950s, led within twenty years to a terminal decline in the use of the 2:1-based paradigm.<sup>20</sup> As an ironically enhanced return to the world of ragtime,<sup>21</sup> the invasion of popular music by a mechanical 1:1 sound, introduced by rock-and-rollers such as Chuck Berry, Buddy Holly and Eddie Cochran,<sup>22</sup> not only relegated 2:1 – and jazz – to a nostalgic periphery, but also, with the hectoring sound of electric guitars, took away all trace of the coating of legato.<sup>23</sup> As a result, whereas prior to this development Berg's music related to the chief popular music of the day, if through an element in his music that had to contend with the more spectacular, and at the same time more negotiable element of syncopation,<sup>24</sup> since that time the composer's achievement, in continuing unfashionably during the 1930s to sustain loosened-up textures,<sup>25</sup> relates solely to a form of music by no means abolished, but very much subservient to the sound of rock.<sup>26</sup> Berg's role as cultural mediator in the 'Post-swing Era' thus finds indefinitely extensible meaning, in the fact that the problem associated with swing has to relate to the idea of jazz as a form of music lately kept inside a cultural reservation.

**EXAMPLE 7.1**

(a) Ellington & Mills, 'Sophisticated Lady' [1933], refrain, bars (0)-5

[Moderato]

They say in-to your ear-ly life ro-mance came - And in this heart of yours burned a flame -

(b) Berg, *Der Wein*, bars 10-12

[Sehr langsam, ♩ = 36-44]

Saxophone

*poco f*

**EXAMPLE 7.2**

(a) Parker (to words by Charles), 'We'll meet again' [1939], refrain, bars 1-8

[Moderato espressivo]

Sung as:

(RHYTHMIC CORRESPONDENCE)

We'll meet a-gain don't know where, Don't know when, But I know we'll meet a -

We'll meet a - gain don't know where, Don't know when, But I know we'll meet a -

gain some sun - ny day.

○ MELODIC CORRESPONDENCES

□ HARMONIC CORRESPONDENCES (♭ 13-12 PROGRESSION)

(b) Berg, *Lulu*, Act One, Scene 2, bars 615-6

Lento (♩ = 58)

[Lulu]

Strs. (Fn.)

Strs.

**EXAMPLE 7.3****(a)** David Raksin (to words by Johnny Mercer), 'Laura' [1945], refrain, bars 1-8

Slowly, with expression

Lau - ra - - is the face in the mist - y light -

Foot - steps that you hear down the hall

**(b)** Berg, *Lyric Suite*, second movement ('Andante amoroso'), bars 144-(147)

[ ♩ = ca. 69 ]

chromatic, melodic similarity

harmonic similarity

*p*

*mp*

*piu p*

*poco*

These two points undoubtedly stimulate a sense of expectation that interest in Berg's music on the part of jazz musicians will emerge on inspection as not only having risen on a par with an increase in their sense of cultural sophistication, and, crucially, with the incomparable increase in access to this composer's work after 1945,<sup>27</sup> particularly by means of audio-mechanical recordings, but will also grow more stylistically heightened; thus whereas the comparisons in [Example 7.1](#) and [Example 7.2](#) show a



degree of similarity of passages of Berg's music to jazz-related music from later times that enhances the idea of the composer as responsive in this direction,<sup>28</sup> but that only offers an unrealistic fantasy of the composers of those pieces as creatively exposed to his music, only later, with the comparison shown in Example 7.3, does the idea of Berg's music as influential in the jazz-related sphere turn into a confirmable form of possibility. As regards this last comparison, the writer Irwin Bazelon interviewed film composer David Raksin, who wrote the hit song 'Laura', and asked him this question:

Bazelon: 'I've always felt – you may not feel this way – that [the film scores to] *Force of Evil* and *Laura* [a film produced in 1945, and featuring 'Laura' as a theme tune] have the quality of early Alban Berg. Do you feel it, or is it just something that hit me?'

Raksin: 'I think that the two composers who influenced me more than anyone else in the world were Alban Berg and Igor Stravinsky.'<sup>29</sup>

As shown, the 'Laura' refrain not only shows melodic and harmonic similarities to bars 145-6 in the 'Andante Amoroso' from the Berg's *Lyric Suite*.Berg, but also stands allusively comparable in a swing-related way, by virtue of the sense of lilt.<sup>30</sup>

Accordingly, signs emerge in the post-1945 scene that show Berg's music as drawing rhythmically compatible forms of attention from the jazz-swing mainstream. Gunther Schuller gives the following account of the work of bandleader Will Bradley, in the wake of professional severance in 1942 from Ray McKinley, a long-time associate:

Bradley eventually turned completely to contemporary classical composing and, at a time when Alban Berg's music (except for the *Violin Concerto*) was virtually unknown in America, began a serious study of that composer's work. Unfortunately Bradley's many well-crafted atonal compositions, some for multiple-trombone choirs, are little known today. It is ironic that in later years it was McKinley, not Bradley, who eventually ended up with the more progressive band, featuring Eddie Sauter's abstract atonal scores.<sup>31</sup>

Very importantly indeed in this connection, therefore, a recording of 'Idiot's delight', a progressive jazz-swing number written by the same Eddie Sauter mentioned above

and performed by the band of Ray McKinley,<sup>32</sup> turns out on audition as incorporating an acrid, 'atonal' overlay to a melded combination of swing and straight, to form an interesting 3:2-like lilt, a sound that approaches the aesthetic of Berg's music to a not inconsiderable extent. As a result, other post-1945 references to Berg, while not unsurprisingly mixed with references to other modern composers such as Stravinsky, Ravel and Schoenberg, hint irresistibly at the relevance of the swing-related issue: in a degree of interest in Berg shown by Gil Evans,<sup>33</sup> Charlie Parker,<sup>34</sup> and Miles Davis.<sup>35</sup>

The sign of Berg's 'style of second sensuousness' having an appreciably creative effect on the consciousnesses of jazz musicians in the years immediately following 1945,<sup>36</sup> and as no doubt increasing further in more recent times,<sup>37</sup> nevertheless pales into insignificance compared to the position occupied by the composer more generally in this area, once the real swing impulse had suffered cultural reversal and had faded. The interest shown by jazz musicians, as noted above, related to avant-garde impulses coursing in their veins, on realizing that the easy-going premises of swing needed further forms of invigoration in order to continue to attract attention;<sup>38</sup> but this restlessness contributed to the ambitious artistic development of 'modern jazz',<sup>39</sup> and hence to the alienation of an audience that would shortly turn to rock and roll.<sup>40</sup> The interests of jazz musicians moving down that path emerges as thus only incidental to the interests of the many more people who felt that the fun had gone when under the crude banner of 'syncopated music entertains' rock and roll wiped out their source of sophistication and suavity.<sup>41</sup> To these people, swing-related music had offered a sense of release after World War One,<sup>42</sup> had given solace during the Great Depression,<sup>43</sup> and above all had smoothed the path to victory in World War Two.<sup>44</sup> In this last sense, jazz had obviously exercised the weightiest symbolic function ever imposed on music.

For fifty years or so, Berg's role in the post-swing era has remained latent:<sup>45</sup> hence the present study; yet signs of a need for a more patent form of recognition lie around, ready for creative discovery. For example, the idea of a modern jazz resurgence in the wake of a pluralistic, 'post-modern' kind of settlement comes across in fact as wistful and incipiently narcissistic, as shown in Stuart Nicholson's introduction to the subject:

During the 1980s, jazz became the Mark Twain who, after leaving home an angry young man, returned 20 years later to discover how much wiser his father had grown. It marked a unique moment in the music's history. With the absence of a major innovator that had providentially appeared in the past to codify the diatonic, chromatic, atonal and rock-influenced eras, jazz began a dialogue with its past in all its glorious languages. The result was a new classicism that ranged from a conscious imitation of the hard-bop style at one end of the spectrum to an imaginative re-creation and creative distortion of stylistic devices from King Oliver to Albert Ayler at the other...the 80s was the first decade in jazz when it was not necessary to be fashionable. That is not to say some areas of jazz were [not] more fashionable than others, which is quite a different thing. But the fact remains that as the decade progressed many musicians, some who had hardly set foot in a recording studio in over 20 years, were again recording. Older styles were finally being accorded both respect and informed curiosity instead of being dismissed as old-hat.<sup>46</sup>

'Wiser' smacks of the resigned negativity of 'older and wiser', a quality not disguised by the spurious notion of 'a unique moment in the music's history'. A powerful sense prevails of jazz as deprived, both of glamour as the chief form of popular music, and of further hope of admission to the inner sanctum of artistic respectability.<sup>47</sup> In some literary quarters, this realization breaks surface in impassioned forms of protest, as in Martha Bayles's attempt to expose the negative effects of the rock and roll takeover:

To the reader who finds nothing offensive in current popular music: Please don't put the book down; you are the person I am most anxious to persuade. To the reader who is repelled by everything out there to the point of giving up: Please bear with me. My intention is not just to rub your nose in the latest swill; any number of critics can do that. Rather it is to explain the situation: to articulate exactly what is wrong, to show where the swill comes from, and to suggest why popular music doesn't have to be this way. Unlike many others who have been knocking popular music lately, I do so from a position of deep and abiding sympathy.<sup>48</sup>

Unfortunately, the cause espoused by this writer seems altogether too inflammatory to prevent a degree of overemphasis from consigning her, too, to a state of resignation.<sup>49</sup>

Swing isolates jazz enthusiasts in a state of limited technical articulacy,<sup>50</sup> a fact that allows so-called 'pluralist' critics to effect a form of cultural suppression by means of a conceptual sleight-of-hand; thus Daniel N. Thompson mounts a sustained attack on Bayles,<sup>51</sup> without considering the literary tradition within which she obviously feels entitled to work;<sup>52</sup> more importantly, he presents Bayles's opposition to the ideas of T.W Adorno as though incompatible with her 'fiscal conservatism',<sup>53</sup> without noticing the fact that the free market allows for the development of factions.<sup>54</sup> Similarly, Eric Salzman presents the idea of an all-encompassing 'pluralism' as one conducing to a general sense of advantage, and presumably not at all inimical to the interests of jazz:

The era of exploration is over. All experience is now available raw material for art – through 360 degrees and on a continuum. What matters is what is done with this raw experience. The old questions of context (the social setting of the work of art) and content ("meaning" understood in a widened sense) must again be taken up. The best new art concerns itself with the ordering of a particular universe of ideas and experiences from the totality of possibilities within the psychological, poetical, and social realities of the act of performance, the meaning of non-verbal – or verbal/non-verbal – communication, and the experience of sound.<sup>55</sup>

At the point at which this writer appraises the work of Gunther Schuller, a writer on jazz as encountered,<sup>56</sup> but in this context a progressively-inclined composer from the classical sphere, who in the 1950s and 60s tried to dissolve cultural barriers by means of 'third-stream' activities,<sup>57</sup> however, the glibness of the above formulation emerges:

In spite of Schuller's own [compositional] work, his sponsorship of a number of younger men, and of his recent activity [prior to 1974] as president of the New England Conservatory (where both jazz and non-jazz traditions are represented in an active teaching and performance sense), a real 'third-stream' movement has not materialized to any notable extent. In fact the impact of rock has, to some degree taken the play away from the experimental jazz musicians, and musicians like Miles Davis (from the jazz side) and The Soft Machine, Frank Zappa, or Emerson, Lake and Palmer (from the rock side) have re-invigorated

jazz tradition with electric instruments and an approach using strong rock/blues elements. Nevertheless, if understood in a wider and more general sense than usually employed, the 'third-stream' concept remains useful.<sup>58</sup>

The ambiguity of the last 'Nevertheless' completes a process whereby this writer has inveigled the rock and roll takeover, and therewith a mechanically biased idea about the nature of musical dissemination,<sup>59</sup> as though a congenial species of diversification.

Accordingly, an appropriate consideration of the style of Berg's later music punctures and deflates these ideas: the need to account much more fully for his 'style of second sensuousness' exposes the totalitarian instinct that underlies a purportedly pluralistic 'post-modernism'; and, perhaps most importantly, the specific aesthetic zone that this composer has occupied necessitates a realization of the extent to which that instinct finds deepest expression in the suppression on moral and racial grounds of jazz and the 2:1 manner of enunciation.<sup>60</sup> Modern jazz musicians may do what they like, but under the conditions of critical evaluation that have held sway previously, have no hope of creative integration. An appreciation of Berg's role as aesthetic mediator of course may not lead to a restoration of the Swing Era, but may well lead to a greater sensitivity in this area, and to the ability especially on the part of classical musicians to take the swing-style of enunciation even more seriously than has Gunther Schuller.

### **7.1 The swing-relatable aspects of Berg's music collated as a mediating syntax**

With the idea tentatively advanced of Berg's aesthetic role in the 'Post-swing Era' as one of mediating, hence of mitigating cultural tensions caused by the abolition of 2-1-like scansion as a primary rhythmic mode in classical and popular music, by writing music that stood firmly enough in the gap separating the two to require an explanation sensitive enough to dissolve misunderstandings on either side, therefore, opportunity

finally arises to summarize the varying aspects of this composer's response to swing in jazz; to collate the items of evidence, not as a haphazard series of resemblances that may have arisen on this or that occasion, but as a constituted, if often unconscious form of 'syntax' developed – probably once and for all in the higher musical sphere – to ensure that the problem of alienation remains appreciated. The following collation avoids details other than page references, through a need to avoid an imbalance of account that might lead to distortions of perspective. This collation rearranges the ten items of evidence to accord with stages in the scheme proposed by Harold Bloom:<sup>61</sup>

**MAINLY TO DO WITH TRIPLETIZED CROCHET-QUAVER PATTERNS:**

As relating to the considered source by way of a form of 'irony':<sup>62</sup>

**Item No 8**, *Der Wein*, bars 10-11 etc., lilting precipitation: see pages 298-300 above.

**Item No. 2**, *Der Wein*, bars 74-5, tripletized crotchet-quaver patterns interpretable as a jazz-age musical quotation: see pages 118-120, 132, 162 above.

**Item No 9**, *Lulu*, Act Two, Scene 1, bars 275-8, plus related passages in Scenes 1 & 2, use of the broad 1:2:1 ratio: see pages 308-9 above.

As relating to the considered source by way of a form of 'synecdoche':<sup>63</sup>

**Item No 4**, *Lulu*, the use throughout of tripletized crotchet-quaver patterns: see page 162 above.

**TO DO WITH LEGATO FORMS OF POLYRHYTHM:**

**Item No 7 [anticipatory]**, Chamber Concerto, II, from bar 330, & *Lyric Suite*, IV, from bar 40, elements of textural oscillation: see pages 262-3 above.

As relating to the considered source by way of a form of 'metonymy':<sup>64</sup>

**Item No. 5 [a]**, *Lulu*, Act Two, Scene 1 & 2, first coalesced phase and first part of second coalesced phase of legato coextensive polyrhythm: see pages 198-201, 261-2 above.

As relating to the considered source by way of a form of 'hyperbole'-cum-'litotes':<sup>65</sup>

**Item No. 5 [b]**, *Lulu*, Act Two, second part of second coalesced phase of legato coextensive polyrhythm: see pages 198-201, 261-2 above.

**Item No. 6**, Violin Concerto, I/1 & II/2, phases of legato coextensive polyrhythm: see pages 216-7, 261-2 above.

#### **TO DO WITH THE BROAD 1:2:1 RATIO AND OTHER ASPECTS:**

As relating to the considered source by way of a form of 'metaphor':<sup>66</sup>

**Item No. 10**, Violin Concerto, I/1, from bar 11, use of the broad 1:2:1 ratio: see page 313 above.

As relating to the considered source by way of a form of 'metalepsis':<sup>67</sup>

**Item No. 3**, Violin Concerto, I/1, bars 30-1, use of tripletized crotchet-quaver patterns: see pages 128-9 above.

**Item No. 1**, Violin Concerto, II/2, extensive use of a *Hauptrhythmus*: see pages 111-114 above.

Whereas the issue of audible emphasis in each case needs careful consideration in any overall estimate, the question of awareness on the composer's part seems irrelevant.

In the scheme of relationships finally laid out in the list above, the importance of *Lulu* again emerges decisively; obviously the great length and 'weight' of the opera counts considerably in this regard.<sup>68</sup> Adorno's summary of the work hence finds justification:

In [*Lulu*], Berg's mastery reaches its highest development in composition for the stage. The music is as rich as it is economical. In its lyric tone – particularly in the role of Alwa and in the finale – the opera is superior to any other work by

Berg...The orchestra sounds so seductive and colourful that absolutely any accomplishment of Impressionism or neo-Romanticism pales by comparison... The essential rigidity of twelve-tone construction has been softened to the point that it is unrecognizable...The triumph of the composer lies in his ability – along with many other qualities – to do one thing: to overlook the fact that the critical impulse of twelve-tone technique in truth precludes all the other factors which he has employed. It is Berg's weakness that he can renounce nothing at his disposal, whereas the power of all new music lies precisely in renunciation. The un-reconciled in Schoenberg's later works (not simply in terms of intransigence, but also in terms of the antagonisms inherent in the music) is superior to the premature reconciliation in Berg's works, as Schoenberg's inhuman coldness is superior to Berg's magnanimous warmth.<sup>69</sup>

In which case, by virtue of an insight reached indeed by a writer ultimately incapable of accepting Berg's change after his Chamber Concerto to a less 'unfriendly' kind of approach,<sup>70</sup> the fact that *Lulu* colours a sense of textural flexibility to a great extent with the timbre of the saxophone emerges strongly, as the point to consider when determining the thrust of the composer's aesthetic mediation, hence mitigation of swing-related rhythm, perceived as in opposition to straight rhythm;<sup>71</sup> thus the rag-based parodies of jazz, and other syncopated aspects emerge as part of a vast, intricate carapace; an interweaving of auditory, swing-relatable strategies.<sup>72</sup> In this context, the high profile of the saxophone in *Der Wein* and in *Lulu* contrasts tellingly with the more modest use of that instrument in the Violin Concerto;<sup>73</sup> thus, a modesty that fits well with the diverseness of swing-relatable correspondences in that work ensures that, in a culturally mediating sense, the focus remains fixed on Berg's second opera, despite the greater metrical richness remarked upon in the last completed work of his.

## 7.2 Endnotes for Chapter Seven

- (1) See Anthony Pople, *Berg: Violin Concerto* (Cambridge, 1991), pp.95-6
- (2) See Pierre Boulez (1948), trans. 'The current impact of Berg (the fortnight of Austrian music in Paris)', *Pierre Boulez: stocktakings from an apprenticeship*, ed. Paule Thévenin.



- (3) See Joan Peyser, *Boulez: composer, conductor, enigma* (London, 1976), pp.75-6.
- (4) See Pople, *Berg: Violin Concerto*, p.100
- (5) See *ibid*, p.97.
- (6) See Peyser, *Boulez*, pp.249-52.
- (7) In this connection, note the impact of Renaissance and Baroque polyphony in Europe by the nineteenth century on a European form of 'folk music'; thus the popularity of Romantic style in nineteenth-century parlour songs follows suit; see *The Larousse encyclopaedia of music*, ed. Geoffrey Hindley, (London, 1971), p.43.
- (8) See Arnold Whittall, 'Berg and the twentieth century', *The Cambridge companion to Berg*, ed. Anthony Pople. 1997, pp. 247-8.
- (9) Peter J. Burkholder, 'Berg and the possibility of popularity', *Alban Berg: historical and analytical perspectives*, ed. David Gable & Robert P. Morgan, p.25.
- (10) *Ibid*, pp.25-26.
- (11) See Hermann Hesse (1945), trans. *The Glass Bead Game (magister ludi)* (Harmondsworth, Mdx.UK, 1960), p.29:

We tend to envy those happier times whenever our pleasure in their music makes us forget the conditions and tribulations amid which it was begotten.

See T.W. Adorno (1948), trans. *Philosophy of modern music* (New York, 1973), p.133:

The shocks of incomprehension, emitted by artistic technique in the age of its meaninglessness, undergo a sudden change. They illuminate the meaningless world. Modern music sacrifices itself to this effort. It has taken upon itself all the darkness and guilt of the world. Its fortune lies in the perception of misfortune; all of its beauty is in denying itself the illusion of beauty...modern music sees absolute oblivion as its goal. It is the surviving message of despair from the shipwrecked.
- (12) Antal. Dorati, *Antal Dorati: notes of seven decades* (London, 1979), p.324.
- (13) See Douglas Jarman, *Alban Berg: Lulu* (Cambridge. 1991(a)), p.49.
- (14) See Section 3.2.1 above.
- (15) See pages 101-6 above.
- (16) See pages 106 above.

- 
- (17) See pages 107-8 above; even Gershwin had to comply with a straightening-out of his rhythms when venturing into the field of concert music and opera. As regards the post-1945 scene and the difficulties facing the 'third-stream' movement, see Frank Tirro, *Jazz: a history* (London, 1977), pp.299-300.
- (18) Hear John Coltrane's suite, *A Love Supreme*, especially No. 2, 'Resolution'; on CD, Cedar, Digital Dejavu, 5-119-2. 1992. *The gold collection: John Coltrane*, (Italy, 1992), tracks 1-4.
- (19) See pages 140, 152 above.
- (20) To judge by impressions, the current scene relegates 2:1 rhythms to a minority of at most one in five; even examples that occur stand at a great remove from swing on account of the abrasive sonorities. See George Schaefer, abstract for diss. 'Drumset performance practices on pop and blues recordings, 1960-1969' (Arizona, 1994), R.I.L.M, XXVIII, p.586. Current types available include: rapid 2:1, as with the rigid light heartedness of Phil Collins's version of 'You can't hurry love', or the subversive micro-shuffle of many rap tracks; moderate 2:1 as 'raunchy', as with the Pretenders in 'Message of Love', or folk-nostalgic, as with the remaining traits in country and western; and the old rock-and-roll type of slow 12/8 pedantry, as in 'Everybody hurts' by R.E.M.
- (21) Ironic for ragtime as primarily a black American music, in that the obliteration of 2:1, as a nuance that had wiped out that genre, led to a more wholesale form of cultural takeover by white people; compare the cases of Duke Ellington, Benny Goodman, with Chuck Berry, Beatles.
- (22) See Donald Clarke, *The Penguin Encyclopaedia of popular music* (London, 1990): p.103; p.555; p.253.
- (23) See pages 87, 142 above. Rock music of course elevated the sound of the electric guitar above the saxophone, which sank into an ancillary, often nostalgic role; see Paul Friedlander, *Rock and roll: a social history* (Boulder, Colorado, 1996), pp.18, 282.
- (24) See pages 100 above.
- (25) See Section 4.3 above.
- (26) See page 100 above; see James Lincoln Collier, *Jazz: the American theme song* (New York, 1993), p.181.
- (27) See Douglas Jarman, *Alban Berg: Wozzeck* (Cambridge, 1989(b)), p.85.

- 
- (28) Compare *Der Wein* not least with the sax rendering of 'Sophisticated Lady' on Ellington's version, CD, Jazz Classix JC 98001, *Jump for joy: Duke Ellington*, (Germany, 1998), track 6.
- (29) Cited from interview in Irwin Bazelon, *Knowing the score: notes on film music* (New York, 1975), p.239.
- (30) As the theme tune of the film released under that title, 'Laura' features in the main part of the action as a swing-accompanied dance tune, played by a small band at a society party. That tune will have crept decisively into the repertoire of many nightclub singers and pianists in 1944, the year of release; see Film, *Laura* (1944), on Video, CBS/Fox All Time Greats 1094 (USA, 1990).
- (31) Gunther Schuller, *The Swing Era: the development of jazz, 1930-1945* (New York, 1989) p.764n.
- (32) On CD, BMG 07863-66746-2, *Swingin' uptown, the big bands, 1923-1952* (New York, 1998), disc 2, track 19.
- (33) See George Russell, address for the award to Gil Evans of a *Doctor honoris causa*, New England Conservatory, 15<sup>th</sup> May 1985, cited in Frank Bergerot & Arnaud Merlin, trans. *The story of jazz: bop and beyond* (London, 1991), p.114.
- (34) See Ross Russell, *Bird lives!: the high life and hard times of Charlie 'Yardbird' Parker* (London, 1973), p.209.
- (35) See Douglas Yeo, 'David Taylor, bass trombone: an appreciation and interview by Douglas Yeo, Part 1', *The International Trombone Society Journal*, 19(4) (1990), online, [www.yeodoug.com/taylor.html](http://www.yeodoug.com/taylor.html) (2000).
- (36) See pages 260-1 above.
- (37) See Tony Coe, *Tony Coe* (1999), online, [www.zahzah.com/artists/coet.html](http://www.zahzah.com/artists/coet.html).
- (38) See Collier, *Jazz*, p.150.
- (39) See Tirro, *Jazz*, pp.263-8.
- (40) See Collier, *Jazz*, p.175.
- (41) See pages 180-1 above; see endnote V (23); as a fact outstripping the impulses of the most hedonistic kind of jazz, rock music relies on heavy electric amplification as a means of mass projection, even with intimate, lyrical ballads. In Jacques Attali (1977), trans. *Noise: the political economy of music* (Manchester, 1985), p.122, the author remarks:

Power, in its invading, deafening presence, can be calm: people no longer talk to one another. They speak neither of themselves nor of power. They hear the noises of the commodities into which their imaginary is collectively channelled, where their dreams of sociality and need for transcendence dwell. The musical ideal then almost becomes an ideal of health; quality, purity, the elimination of noises; silencing drives, deodorizing the body, emptying it of its needs, and reducing it to silence. Make no mistake: if all of society agrees to address itself so loudly through this music, it is because it has nothing more to say, because it no longer has a meaningful discourse to hold, because even the spectacle is now only one form of repetition among others, and perhaps an obsolete one. In this sense, music is meaningless, liquidating, the prelude to a cold social silence in which man will reach his culmination in repetition.

- (42) See Collier, *Jazz*, pp.21-23.
- (43) See Tirro, *Jazz*, pp.209-214.
- (44) See *ibid*, p.260. As a depiction of musical conditions on the Allied side in World War Two, *The Glenn Miller story*, a film made in 1953 by Universal Pictures, convincingly represents swing music as having played a crucial part in sustaining the spirits of fighting men at a time when the entire world order stood in the balance. The foreclosure on jazz swing by the capitalist world in the period after 1945 suggests a parallel with Khrushchev's clamp-down on the Christian church in Russia, soon after the period in which, manifestly as a sacred remedy in the East to match the profane remedy in the West, his predecessor Stalin had enlisted ecclesiastical help, against Marxist-Leninist precepts, to boost morale during the siege of Stalingrad; see *sub verbo* 'Russian Orthodox Church', NEB, 15<sup>th</sup> edition, Vol. 10, p.258.
- (45) See pages 85-6 above.
- (46) Stuart Nicholson, *Jazz: the modern resurgence* (New York, 1990), p.1.
- (47) See Mervyn Cooke, 'Jazz among the classics, and the case of Duke Ellington', *The Cambridge companion to jazz*, ed. Mervyn Cooke & David Horn, pp.172-3
- (48) Martha Bayles, *Hole in our soul: the loss of beauty and meaning in American popular music* (Chicago, 1996), p.1-2.
- (49) The resignation on Bayles's part underpins her final, unrealistic peroration in *ibid*, pp.390-1, and lies in an inability to transcend the implications of the final paragraph on p.186: if that writer can appreciate the extent to which electronic media have corrupted and undermined jazz, what means does she have other

than a simultaneous ability to dismiss the ideas of T.W. Adorno for assuming that the natural ebullience of that genre will lead to a positive outcome?

- (50) See pages 84-5, 86 above.
- (51) See Daniel N. Thompson, 'Review of Martha Bayles, *Hole in our soul: the loss of beauty and meaning in American popular music* (Chicago, 1996)', *Current Musicology*, No. 63 (1999). On p.124, the author expresses some support for Bayles in her analysis of the current scene in terms of "The Three Strains of Modernism", as 'perverse', 'introverted' and 'extroverted'; from the standpoint of the present study, however, the real weakness in Bayles's book lies in her attempt to link jazz to Stravinsky under the category of 'extroverted modernism', a link that in effect misconstrues jazz as a neo-barbarism. Perhaps significantly, Bayles makes no mention of Berg, even though trying to explain the alienating change from jazz to rock by reference to Stravinsky, Schoenberg and Webern. Insights arising from the present study would favour a bi-partite scheme, with the Cage-ian *objet trouvé* a 'perverse' extension of Schoenberg's free atonality, and minimalism and pop derivatives as 'perverse' extensions of Stravinsky, so showing jazz as exempt from modernist impulses.
- (52) See Daniel N. Thompson, 'Review of Martha Bayles, *Hole in our soul: the loss of beauty and meaning in American popular music* (Chicago, 1996)', *Current Musicology*, No. 63 (1999), pp134-7; for comparison, see Thomas Owens, 'Analysing jazz', *The Cambridge companion to jazz*, ed. Mervyn Cooke & David Horn, esp. pp.286-90.
- (53) See *ibid*, p.135.
- (54) See *ibid*, p.139.
- (55) Eric Salzman, *Twentieth-century music: an introduction* (Englewood Cliffs NJ, 1974), p.199.
- (56) See e.g. page 326 above.
- (57) See Salzman, *Twentieth-century music*, pp.167-8; see also endnote V (17).
- (58) *Ibid*, p.168.
- (59) A situation of course initially fuelled by the enthusiasm from the 1920s for jazz-related music; in preponderantly locking-in to a system in which people would increasingly gauge live performances against their ability to replay mass-produced imprints of performances endlessly on the gramophone, music fell subservient to narcissistic impulses, as realized in the treatment of musical

textures as fetishes. In Attali, *Noise*, p.122, in gauging the social problem to which this situation has given rise, the author remarks:

Today, repetitive distribution plays the same role for noise that the press played for discourse. It has become a means of isolating, of preventing direct, localized, anecdotal, non-repeatable communications, and of organizing the monologue of the great organizations. One must then no longer look for the political role of music in what it conveys, in its melodies or discourses, but in its very existence.

Pre-recorded music – assisted by the immediacy of impact in the ordinary living room created by broadcast music – has abolished a sense of distance as a socializing and desirable part of the world of entertainment and meditation.

- (60) See page 328 above.
- (61) See pages 160 above.
- (62) See pages 160 above.
- (63) See pages 160 above.
- (64) See pages 160 above.
- (65) See pages 190 above.
- (66) See pages 312 above.
- (67) See pages 312 above.
- (68) See pages 153 above.
- (69) Adorno, *Philosophy of modern music*, pp.108-9.
- (70) See endnote V (77).
- (71) See pages 100, 130, 160, 197, 304 above.
- (72) See: Section 2.1.3.2 above; Chapter Four above.
- (73) See pages 215, 216 above.

---

## – CONCLUSION –

With Berg revealed in this light, jazz and related forms of music sit more easily in the context of a musical civilization that has marginalized the lilting impulse: Dixieland open to rejection as an ebullient caricature; swing as the music of playboys; bebop and later styles of jazz as still respectable but, through a compulsive improvisatory productiveness, and an underlying attachment to swing, bafflingly incompatible with the constructive modernism, free-form modernism, or eclectic post-modernism of classical music, or the nightclub modernism of rock and pop. The apparent interactive compatibility of jazz-rock tendencies, as exemplified by Miles Davis, only shows the extent to which the straight-swing divide needs mediation. Berg provides the basis for such mediation by highlighting the extent to which swing music stands as the main issue, especially by showing up the extent of the importance of lilting enunciation in Dixieland, a fact otherwise obscured by an association with the music of Stravinsky. The distinctive emergence of swing as a sub-genre must not diminish an awareness of the extent to which a 2:1-type lilting enunciation crucially formed the basis of earlier, quicker forms of jazz. In turn, the dangerous possibility also stands revealed of confusing jazz with rock and roll on the basis of a mutual dependence on syncopation: this particular and characterizing aspect of musical entertainment since 1900 emerges as very much crucial to the present-day inveigling of a constrictive media-based ethos.

As a composer who, in the process, also serves to highlight the political tensions created during the inter-war years, by jazz in the German-speaking areas, Berg has mediated this set of circumstances, by using the saxophone as an obbligato in the last three of his works, at the same time as reverting unfashionably to legato forms of polyrhythm, derived from Brahms but uniquely, syntactically modified. From this

perspective, the idea of a civilization that evolved twelve chromatic degrees of a total tonal resource emerges as concealing an unfamiliar, but very important account, of the evolution of five interrelated strata of a total metrical resource, operating as a primal basis for rhythmic scansion, an idea exemplified by Bach, Beethoven, Brahms and, indeed, Berg; thus, Berg's Violin Concerto may not 'sound like' the music of Benny Goodman but definitely – through this primal aspect – sounds compatible with the exactly contemporaneous moment of that jazz musician's instalment as the 'King of Swing'. In overlapping jazz as a rubato style marked by resistant elements with a giusto style marked by loose elements, Berg generates a 'yes/no' species of similarity that makes the boundary negotiable. As a classical mediator for jazz, this composer raises the very proper question about the possibility of a response to swing on his part, and even the question of awareness: accordingly, a sustained element of response proves increasingly easy to identify, and a suggestion of awareness grows discernible.



– APPENDIX (A) –  
**LILTINGLY ASSOCIABLE ELEMENTS  
 IN WORKS COMPOSED BY BERG  
 UNDER THE POSSIBILITY OF AN  
 IMPINGEMENT BY ‘2:1’ SWING IN JAZZ**

**(i) Details of each work individually:**

<b>CHAMBER CONCERTO (1923-5) [total 785 bars]</b>	tripletized crotchet-quaver patterns	legato coextensive polyrhythm  [interesting non- legato in brackets]	imaginary lilting precipitation
<b>FIRST MOVEMENT</b>		bars 46-55 bars 211-219	
<b>SECOND MOVEMENT</b>	bars 330-332	bars 271-280 [bar 367] bars 319-320  bars 336-338 [bars 350-355] bars 359-367 bars 397-8 [bar 414] bars 435-445	
<b>THIRD MOVEMENT</b>	bar 485   bar 731 bars 741-743	[bar 494] bar 502 [bar 505] bars 598-9 [bar 711]	

<b><i>SCHLIESSE MIR DIE AUGEN BEIDE (Version II) (1925) [total 20 bars]</i></b>	tripletized crotchet-quaver patterns	legato coextensive polyrhythm  [interesting non- legato in brackets]	imaginary lenient precipitation
		bar 9 bars 16-17	

<b>LYRIC SUITE (1925-6)</b> [total 934 bars]	tripletized crotchet-quaver patterns	legato coextensive polyrhythm [interesting non-legato in brackets]	imaginary lilt precipitation
<b>FIRST MOVEMENT</b> <b>Allegretto gioiale</b>			
<b>SECOND MOVEMENT</b> <b>Andante amoroso</b>			[broad 1: 3 rhythm at bars 124-142 with potential for lilt distortions in performance]
<b>THIRD MOVEMENT</b> <b>Allegro misterioso; Trio estatico</b>	[bars 69-73, as tripletized minim-crotchet patterns]	[bars 69-73]	
<b>FOURTH MOVEMENT</b> <b>Adagio appassionato</b>	bars 12-13 bars 27-29	bars 4-5 bars 9-11 [bars 12-13] bars 14-19 bars 23-30 bars 40-44 bar 51	
<b>FIFTH MOVEMENT</b> <b>Presto delirando; Tenebroso</b>		[bars 20-23] [bars 30-35] [bar 138] [bar 142] [bar 145] [bar 147] [bar 152] [bars 156-7] [bars 183-194] [bar 202] [bars 342-345] [bars 401-406] [bars 415-419] [bars 446-448] [bars 451-453] [bars 455-460]	
<b>SIXTH MOVEMENT</b> <b>Largo desolato</b>		bar 29	

Note: the polyrhythm in the 'Presto Delirando' hinges on duplets tied but for a dot on the second of each pair. Some performers nevertheless take the curved line used in each case to mean a tie; e.g., the Ramor Quartet, on LP, Turnabout, TV 4021 (1967).

<b><i>DER WEIN</i></b> <b>(1929)</b> <b>[total 216 bars]</b>	tripletized crotchet-quaver patterns	legato coextensive polyrhythm [interesting non- legato in brackets]	imaginary lilting precipitation
	bars 74-5 (quote?) bars 75-76	bar 22  bars 73-4  bars 80-81  bar 210	bars 1-7 bars 10-12  bars 31-37 bars 71-72  bars 172-180 bars 198-216

<b><i>LULU</i></b> <b>(1928-35,</b> <b>unfinished)</b> <b>[total 3837</b> <b>bars]</b>	tripletized crotchet-quaver patterns	legato coextensive polyrhythm  [interesting non- legato in brackets]	imaginary lilting precipitation
<b><u>ACT ONE,</u></b> <b>[Prologue]</b> <b>[Scene 1]</b>  <b>[Scene 2]</b>	bar 687	bars 3-5  bar 136 bar 501 bars 536-538 bars 541-544 [bar 551]  bar 705 bars 707 [bar 711] [bar 716] [bar 721-723] bar 724 bar 726 bar 794 bars 901-903	bars 132-3          bars 615-624
<b>[Interlude]</b>	bar 963 bars 967-969	bars 969-971 bar 1132 [bars 1248-9]	bars 958-992
<b>[Scene 3]</b>	bar 1248 bar 1254  bar 1279	bar 1271 bars 1278-9	

<b>Lulu, I/3 contd.</b>	bar 1289 bars 1297-8 bars 1312-14	bars 1289-90 [bar 1294] bars 1297-8 bars 1310-16	
<b><u>ACT TWO,</u></b> <b>[Scene 1]</b>	bar 54 bar 58  bar 128 bars 130-1 bar 245 bar 259 bar 260  bars 280-81  bars 298  bar 331  bars 357-360  bar 532 bar 535	bar 32  bar 68  bars 243-246 [bars 259-261]  bars 285-6 bar 300 bars 303-306  [bars 331-2] [bars 340-342] [bars 344-349]  bars 509-514 [bars 523-527]  bar 564 bars 568-575 [bars 634-5] [bars 652-655] [bars 719-721]	bars 262-272 [broad 1:2: 1 ratio] bars 275-280           bar 328
<b>[Interlude]</b>	bar 751 bar 755	bar 756 [bars 854-5] bars 867-869 bars 872-3 bars 933-4 bars 938-9 bar 952 [bars 1005-07] bar 1011 bar 1016 bars 1018-1021 bars 1022-1029	bars 1005-09
<b>[Scene 2]</b>			

<b>Lulu, II/2 contd.</b>	bars 1105	bars 1039-40 bars 1042-3 bars 1069-72 bars 1073-4 bars 1078-9 bars 1080-81?? bars 1102-1109 bars 1112-1118 bar 1125 bars 1131-2	
<b><u>ACT THREE,</u></b> <b>[Scene 1]</b>  <b>[Interlude]</b>  <b>[Scene 2]</b>	bars 435-437 bar 657 bar 687  bars 709-719  bar 980  bars 1025-1045  bars 1248-9 bars 1280-1289 bars 1305-6	[bars 99-102] [bars 154-157] bars 176-178 [bars228-9] [bars 262-293] bars 322-3 bar 364  bar 692 bars 704-720 bars 732-3 bars 890-893 bars 911-912 bars 973-981 bars 985-992 bars 1002-3 bar 1008 bars 1025-1046 bars 1084-5 bars 1175-1179  bars 1248-1250  bars 1305-6 bars 1313-1320	bars 1235-1278

<b>SYMPHONIC PIECES FROM <i>LULU</i> [<i>LULU- SUITE</i>] (1934) [total 509 bars]</b>	tripletized crotchet-quaver patterns	legato coextensive polyrhythm  [interesting non- legato in brackets]	imaginary lilting precipitation
<b>FIRST MOVEMENT (showing Act Two bar numbers)</b>	bar 245  bar 281  bar 287  bar 331  bars 1070-71	bars 243-4  bar 267 bar 273 [bar 276] bars 280-281 bar 283 bars 285-6  bar 300 bars 305-6 bar 309 bar 324 bars 326-7  bars 331-2 [bars 1005-07] bar 1011 bar 1016 bars 1020-21 bars 1038-40 bars 1042-3 bars 1069 bar 1071 bar 1074 bars 1081 bars 1082-1121 bar 1125 bar 1132 bar 1142	bars 265-280         bar 328  bars 1005-07
<b>SECOND MOVEMENT (showing Act Two bar numbers)</b>		bars 652-655 bars 719-723	
<b>THIRD MOVEMENT (showing Act Two bar numbers)</b>	bar 499	bar 499 bars 508-510 bars 513-14 bars 533-535	

<b>[LULU-SUITE]</b> <b>FOURTH</b> <b>MOVEMENT</b> (showing Act Three bar numbers)	bars 688-697	bars 682-698 bars 709-714	
<b>FIFTH</b> <b>MOVEMENT</b> (showing Act Three bar numbers)	bars 884-5 bar 889  bars 1279-80	bars 1149-1153  bars 884-5  bars 897-899 bars 904-906  bars 1289-94	bars 874-908

<b>VIOLIN</b> <b>CONCERTO</b> (1935) [total 487 bars]	tripletized crotchet-quaver patterns	legato coextensive polyrhythm  [interesting non- legato in brackets]	imaginary lilting precipitation
<b>FIRST</b> <b>MOVEMENT,</b> [PART 1, Andante]	bars 30-31 bar 35	bars 37-46 bars 54-61 bars 75-6  bars 146-7 bar 169	bars 11-46 [broad 1: 2: 1 ratio]  bars 84-101  bars 176-178
[PART 2, Allegretto]			
<b>SECOND</b> <b>MOVEMENT,</b> [PART 1, Allegro]		bars 40-41 [bar 98] bars 102-3 bars 111-114  bar 170 bar 173 bars 177-183  bars 190-192 bar 220	bars 158-164  bars 186-189
[PART 2, Adagio]			

**(ii) Legato coextensive polyrhythm [LCP] assessed by the percentage of lines in musical score in which the effect occurs:**

**Auxiliaries:**

+SAX – also with use of saxophone as obbligato

+LSP – also with significant quantities of legato sequential polyrhythm

	<b>Total lines</b>	<b>Lines notably with LCP</b>	<b>Percentage of occurrence</b>
<b>CHAMBER CONCERTO</b>	<b>242</b>	<b>22</b>	<b>9%</b> [+LSP]
<b>[SCHLIESSE MIR DIE AUGEN BEIDE]</b>	<b>[6]</b>	<b>[1]</b>	<b>[16%]</b>
<b>LYRIC SUITE</b>	<b>252</b>	<b>21</b>	<b>8%</b> [+LSP]
<b>DER WEIN</b>	<b>56</b>	<b>3</b>	<b>5%</b> [+SAX]
<b>LULU</b>	<b>1051</b>	<b>113</b>	<b>10%</b> [+SAX; +LSP]
<b>LULU-SUITE</b>	<b>151</b>	<b>49</b>	<b>49%</b> [+SAX; +LSP]
<b>VIOLIN CONCERTO</b>	<b>118</b>	<b>17</b>	<b>14%</b> [+SAX; +LSP]

The most suitable way to gauge proportions of a work affected by legato coextensive polyrhythm for the purpose of comparisons, lies on reflection not in the number of bars, an extremely variable medium, nor in the time of performance, which may not represent the level of the composer's engagement, but in the number of pervaded lines of musical score, which, if a little rough and ready, at least deals with a unit appreciably likely to 'fill-up' with notated attention.



– APPENDIX (B) –  
**LILTINGLY ASSOCIABLE ELEMENTS  
 IN WORKS COMPOSED BY BERG  
 PRIOR TO ANY POSSIBILITY OF  
 IMPINGEMENT BY ‘2:1’ SWING IN JAZZ**

**(i) Details of each work individually:**

<b>PIANO SONATA Op.1 (1907-8) [total 59 bars]</b>	tripletized crotchet-quaver patterns	legato coextensive polyrhythm  [interesting non- legato in brackets]	imaginary lilting precipitation
]	bar 66	bar 18 bars 25-28 bars 57-61  bars 68-70 bars 76-78 bars 81-83 bars 86-87 bar123	

<b>FOUR SONGS Op. 2 (1909-10) [total 85 bars]</b>	tripletized crotchet-quaver patterns	legato coextensive polyrhythm  [interesting non- legato in brackets]	imaginary lilting precipitation
<b>No. 1</b>			
<b>No. 2</b>			
<b>No. 3</b>		[bars 3-4] [bar 8]	
<b>No. 4</b>		bars 2-3	

<b>STRING QUARTET Op.3 (1910) [total 419 bars]</b>	tripletized crotchet-quaver patterns	legato coextensive polyrhythm  [interesting non- legato in brackets]	imaginary lilting precipitation
<b>FIRST MOVEMENT</b>	bar 33  bar 157	[bars 21-27]  bars 50-51 [bars 144-148]	
<b>SECOND MOVEMENT</b>		bars 47-49 [bars 84-87]	

<b>FIVE ORCHESTRAL SONGS</b> [ <i>ALTENBERG LIEDER</i> ] Op. 4 (1912) [total 161 bars]	tripletized crotchet-quaver patterns	legato coextensive polyrhythm  [interesting non- legato in brackets]	imaginary lilting precipitation
<b>No. 1</b>		bar 22 [bar 25] [bars 30-31]	
<b>No. 2</b>			
<b>No. 3</b>	bar 10 (folk)	[bars 11-12]	
<b>No. 4</b>	bar 8	bars 16-21	
<b>No. 5</b>		[bar 10] bars 14-17 bars 25-6 [bars 30-34] [bars 35-37] bar 37]	bars.45-55 broad 1: 2: 1 ratio

<b>FOUR PIECES FOR CLARINET AND PIANO</b> Op. 5 (1913) [total 59 bars]	tripletized crotchet-quaver patterns	legato coextensive polyrhythm  [interesting non- legato in brackets]	imaginary lilting precipitation
<b>No. 1</b>	bar 3  bar 10 bar 12	bar 2  [bar 4] bar 5 [bars 8-9]	
<b>No. 2</b>	bar 7	bars 5-6	
<b>No. 3</b>		bars 9-12	
<b>No. 4</b>	bars 11-12 bar 19	bar 6 [bars 9-10]	

<b>THREE ORCHESTRAL PIECES, Op. 6 (1914-15) [total 351 bars]</b>	tripletized crotchet-quaver patterns	legato coextensive polyrhythm  [interesting non- legato in brackets]	imaginary lilting precipitation
<b>No. 1 'Präludium'</b>	bars 6-8 bars 9-10 bar 14  bars 29-31 bar 36  bar 42  bar 49	[bars 3-8]  bars 16-20 bar 31  [bar 37]  bar 47  bar 50 [bars 51-53]	[bars 12-13 broad 1: 2: 1 ratio but with supporting triplets]
<b>No. 2 'Reigen'</b>	bar 37 bar 39 bar 43 bars 45-47 bar 49  bar 59  bar 97 bar 101  bar 119	[bars 10-12] bars 14-19] [bar 31] bars 35-43  bars 45-47  [bar 50] bar 51 bars 57-60 [bars 62-68] [bar 74] [bars 83-87] [bars 89-95]  bars 100-110 [bars 113-117]	
<b>No. 3 'Marsch'</b>	bar 26 (parody) bar 27 bars 44-5  bar 58  bar 83	[bars 11-13]  bars 39-45] [bars 54-55] bars 57-8  [bars 65-5] [bar 72] [bar 75]	

[Three Orchestral Pieces Op. 6, No. 3 ('Marsch') Contd.]	bars 114, 116 bar 159 bar 160 bar 174	[bar 101] [bars 113-117] [bars 147-8] [bars 155-162]  [bars 161-169]	
--	--	---	--

<b>WOZZECK,</b> <b>Op. 7</b> <b>(1914-21)</b> [total 1927 bars]	tripletized crotchet-quaver patterns	legato coextensive polyrhythm  [interesting non- legato in brackets]	imaginary lilting precipitation
<b>Act One</b>	bars 36-40 bar 131  bars 198-9  bars 320-27 (folk) bar 366  bar 456  b.520-22  bar 680	bars 15-16 bars 20-22  bar 131 bars 144-5 bar 146 bars 177-179 [bars 180-182]  bars 204-5 bars 233-236 bar 240 bar 243  bar 417 bars.420-21 bar 423 bar 441  bars 476-7 [bars 513-518]  bar 561  bar 662 bar 680 [bars 693-96] bars 712-17	bars 320-27             bars.625-36 [ broad 1: 2: 1 ratio but with supporting triplets]
<b>Act Two</b>	bars 70-76 bar 99  bars 109-111  bar 328	bars 70-76  [bars 102-3] bar 110 bar 249 bars 326-329	

<b>[Wozzeck, Act Two contd.]</b>		[bars 374-5] [bars 447-53] bar 741 bars 754-58	
<b>Act Three</b>	bar 75 bar 81  bars 88-96  bars 239-40 bars 279-87  bars 339-41	bar 87  bars 88-90 [bars 143-153] [bars 222-230] bars 239-41 bars 279-83 bars 289-96 bars 302-13 bar 325 bars 329-332 [bar 335]  bar 344 bars 352-354 bars 356-7	

**For part (ii), see overleaf...**

**(ii) Legato coextensive polyrhythm [LCP] assessed by the percentage of lines in musical score in which the effect occurs:**

**Auxiliaries:**

**+LSP – also with significant quantities of legato sequential polyrhythm**

	<b>Total lines</b>	<b>Lines notably with LCP</b>	<b>Percentage of occurrence</b>
<b>PIANO SONATA, Op. 1</b>	<b>45</b>	<b>8</b>	<b>17% [+LSP]</b>
<b>FOUR SONGS, Op. 2</b>	<b>24</b>	<b>1</b>	<b>4%</b>
<b>STRING QUARTET, Op. 3</b>	<b>112</b>	<b>8</b>	<b>7%</b>
<b>FIVE ORCHESTRAL SONGS [ALTENBERG LIEDER], Op. 4</b>	<b>33</b>	<b>4</b>	<b>12% [+LSP]</b>
<b>FOUR CLARINET PIECES, Op. 5</b>	<b>27</b>	<b>6</b>	<b>22% [+LSP]</b>
<b>THREE ORCHESTRAL PIECES, Op. 6</b>	<b>109</b>	<b>46</b>	<b>42% [+LSP]</b>
<b>WOZZECK [, Op. 7]</b>	<b>567</b>	<b>55</b>	<b>10% [+LSP]</b>

The most suitable way to gauge proportions of a work affected by legato coextensive polyrhythm for the purpose of comparisons, lies on reflection not in the number of bars, an extremely variable medium, nor in the time of performance, which may not represent the level of the composer's engagement, but in the number of pervaded lines of musical score, which, if a little rough and ready, at least deals with a unit appreciably likely to 'fill-up' with notated attention.

– APPENDIX (C) –  
**PRIMAL METRICAL TENDENCIES**  
**IN BERG’S MAIN WORKS [see Section 4.6.1 above]**

	‘4/4 <i>Allemande</i> ’	‘12/8 <i>Gigue</i> ’	‘6/4 <i>Menuet</i> ’	‘3/2 <i>Sarabande</i> ’	‘9/4’	‘Humour’ see endnote IV (303)
Sonata Op.1			<b>H*</b> bar 11	<b>H*</b> bar 1	<b>L*</b> bar 57	‘Melan- colic’
Four Songs Op. 2	<b>H</b> II, bar 2		<b>H*</b> I, bar 1	<b>H*</b> II, bar 1		‘Melan- colic’
String Quartet Op. 3	<b>H*</b> I, bar 1	<b>L</b> I, bar 39	<b>H*</b> II, bar10	<b>M*</b> II, bar 1	<b>L</b> II, bar 4	‘Phleg- matic’
Five Songs Op. 4	<b>H*</b> I, bar 1			<b>H*</b> V, bar 1		‘Melan- colic’
Four Pieces Op. 5	<b>H</b> I, bar 6		<b>H*</b> II, bar 1	<b>M*</b> II, bar 9	<b>M*</b> II, bar 10	‘Melan- colic’
Three Pieces Op. 6	<b>H*</b> I, bar 1	<b>M*</b> II, bar 10	<b>H*</b> II, bar20			‘Phleg- matic’
<i>Wozzeck</i> Op. 7	<b>H*</b> I, bar 1	<b>VL*</b> I, bar 15	<b>H*</b> I, bar 30	<b>M*</b> I, bar 201	<b>L*</b> I, bar 417	‘Phleg- matic’
Chamber Concerto	<b>H*</b> bar 241	<b>VL*</b> bar 725	<b>H*</b> bar 1			‘Phleg- matic’
<i>Lyric Suite</i>	<b>H</b> I, bar 1	<b>H*</b> III, bar 70	<b>H*</b> II, bar 1	<b>M</b> II, bar 16		‘Phleg- matic’
<i>Der Wein</i>	<b>H*</b> bar 1	<b>[H]*</b> bar 11	<b>H*</b> bar 88	<b>M</b> bar 97		‘Melan- colic’
<i>Lulu</i>	<b>H*</b> I, bar 132	<b>M*</b> III,bar263	<b>H*</b> I, bar 1	<b>M*</b> I, bar 156	<b>L*</b> II, bar 508	‘Melan- colic’
Violin Concerto	<b>H*</b> I, bar 1	<b>H*</b> I, bar 35	<b>H*</b> I,bar104	<b>H*</b> II, bar 1	<b>VL</b> II, bar 4	‘Melan- colic’

**H** – indicates a high proportion of the work; **[H]** – as imaginarily precipitated.

**M** – indicates a medium proportion; **L** – indicates a low, but present proportion;

**VL** – very low. An asterisk [ \* ] indicates a source of strong musical characterization;  
section and bar numbers indicate the first distinct point of occurrence.

---

**– APPENDIX (D) –**  
**MICRO-TEMPORAL MEASUREMENT**  
**TECHNIQUE AND PROCESSING [see Section 5.3 above]**

Modern computer technology offers an unprecedented degree of precision in locating the points at which the musical sounds called ‘notes’ commence, with measurement of onset points to within a hundredth of a second. Precision of this order offers a way of making objective and empirically-based comparisons over ‘moiety’ control in even rapid sequences of sounds. Use of sophisticated equipment does not remove the need for reflection over the exact nature of chronometric technique, however, for a musical attack, however straightforward and recognizable at the listener’s perceptual level, will stand revealed when examined closely as a phase, from the slightest hint of an opening enunciation, to the point at which the note finally manages to strike attention. A description of the technical stages of measurement will prove valuable at this point, therefore, to determine the musical validity of any chronometric findings with regard to portions of sound subjected to identification in advance of an analytical procedure.<sup>1</sup>

With the help of one of the software packages commercially available for graphically-coordinated measurement of sounds from CD – in this study, *GoldWave*, available by registration: <http://www.goldwave.com> – the investigator should take a sample broadly covering the passage in question. For purposes of metrical analysis, the oscillographic display in the software programme has no use other than to provide orientation during the opening stage. From this sample, the investigator should place the ‘start playback’ marker at a point five or six seconds prior to the area for investigation, and, using the mouse-controlled pointer on screen, edge the ‘playback until’ marker forward bit by

---

<sup>1</sup> The following technical description may serve as a contribution to the overall debate on this subject as represented for example by the work of Bowen (1996) and Repp (1998).



bit along the horizontal rule at the base, reducing increments as the target approaches in a 'search to point' operation. Playing the music back repeatedly during this process reveals the tiniest soupcon of an onset point at the very end of the expanding sample. As a temporary expedient, the investigator may log the exact time value as a reading, and thus as part of a corpus of data that starts to accumulate. Although anticipation as slight as the kind identified in this artificial way cannot in isolation have any impact on the listener, this 'hint point' provides the investigator with an initial identification.

In order to establish the micro-chronometric dimensions of the attack as a perceptual whole, therefore, the search continues in the same manner for a 'strike point' at which the magnitude of sound has emerged very closely following the 'hint point' but which for the purposes of a purely rhythmic analysis, has not established a state of sostenuto. Experience gained from an application of this technique supports the impression very strongly that the attack of a note lasts about 0.05 seconds. The confidence that informs this assertion simplifies an otherwise laborious activity, for with this period of time as a guide the investigator may, by 'to-ing and fro-ing' in the region, settle on a reading constituting the posterior moment of definition for the point. Again, the investigator may log this reading. An apparently simple attack thus constitutes the phase stretching from a 'hint point' at which the initial sonic trace emerges, to a 'strike point' at which the impact registers with the listener, with the latter as the pertinent fact for definition. Naturally, the readings shown in the graphic representations included in Section 5.3 above consist entirely of the strike points taken for those particular samples of music.<sup>2</sup>

---

<sup>2</sup> Full database available on application.

As indicated in that part of the study, however, the data needs processing, to produce the moiety ratios also shown in the representations, as freed of bias caused by any rubato. A curve linking coordinates for the notional strike point of each first moiety, or 'FMP', plotted against the position of the actual point will show the intervening point for each second moiety, or 'SMP', as coinciding or not. The points on the curve at which those interventions 'should' occur generate a formula for calculating the value of the 'Adjusted Distortion Factor', or 'ADF', where  $I$  represents an implied SMP,  $A$  the SMP actually occurring,  $P$  the previous FMP, and  $F$  the following FMP:

$$\text{ADF} = \frac{(A - I)}{(F - P)}$$

The DF for an anacrusis emerges in a more complicated manner, by reference to the following SMP, and to the next value of  $I$  (now termed  $NI$ ), and of DF (termed NDF):

$$\text{ADF (anacrusis)} = \frac{(A - I)}{\frac{(NI - I) + \text{NDF}}{2}}$$

Positive numbers show moiety point delay, and negative numbers moiety point pre-emption as with a rhythmic 'snap'. ADF values permit the calculation of an 'Adjusted Moiety Ratio', or 'AMR', by another formula to express the relationship of the first moiety length to the second moiety length with any distortion due to rubato expunged:

$$\text{AMR} = \frac{0.5 + \text{ADF}}{0.5 - \text{ADF}}$$

The AMR lessens the importance of long-short moiety readings for an accelerando, but enhances the readings for a ritardando. Whereas the formulae have little value in elucidating Chopin, jazz, or the 'giusto and straight' of Mozart, the idea of 'rubato and liling' to which Berg's music may give rise calls for a clear separation of parameters.

---

– **BIBLIOGRAPHY** –

- ADORNO, Theodor W. 1936. Trans. J. Owen Daniel, 1989. 'On Jazz'. *Discourse*, 12(1), pp.45-69.
- \_\_\_\_\_. 1948. Trans. Anne G. Mitchell & Wesley V. Bloomster, 1973. *Philosophy of modern music*. New York: The Seabury Press.
- \_\_\_\_\_. 1966. Trans. E.B. Ashton, 1973. *Negative dialectics*. London: Routledge & Kegan Paul.
- \_\_\_\_\_. 1968. Trans. Juliane Brand & Christopher, Hailey, 1991. *Alban Berg: master of the smallest link*. Cambridge: Cambridge University Press.
- \_\_\_\_\_. 1978. Trans. Rodney Livingstone, 1999. *Sound figures*. Stanford, California: Stanford University Press.
- AIELLO, Rita & SLOBODA, John (Eds.). 1994. *Musical perception*. New York & Oxford: Oxford University Press.
- ALLEN SMITH, Joan. 1986. *Schoenberg and his circle: a Viennese portrait*. New York: Schirmer.
- \_\_\_\_\_. 1989. 'Berg's character remembered'. *The Berg companion*, ed. Douglas Jarman. Pp.13-32.
- ANSERMET, Ernest. 1919. 'Sur un orchestre Nègre.' Trans. Walter E. Shaap, 1938. Reprinted under heading 'A 'serious' musician takes jazz seriously', *Keeping time: readings in jazz history*, ed. Robert Walser. Pp. 9-11.
- ARENDT, Hannah (Ed.). 1955. Trans. Harry Zohn, 1970. *Walter Benjamin: illuminations*. London: Fontana/Collins.
- ARMSTRONG, Louis. 1936. *Swing that music*. New York: Longmans, Green. Reprinted in *Keeping time: readings in jazz history*, ed. Robert Walser. Pp.73-76.
- ASHLEY, Richard. 2002. 'Do[n't] Change a Hair for Me: the art of jazz rubato'. *Music Perception*, Vol. 19, No. 3 (Spring 2002). Pp. 311-332.
- ATTALI, Jacques. 1977. Trans. Brian Massumi, 1985. *Noise: the political economy of music*. Manchester: Manchester University Press.
- AUSTIN, Cecil. 1925. 'Jazz'. *Music and letters*, July 1925. Pp.256-258.
- BAILEY, Kathryn. 1997. 'Berg's aphoristic pieces'. *The Cambridge companion to Berg*, ed. Anthony Pople. Pp.83-109.
- \_\_\_\_\_. 1998. *The life of Webern*. Cambridge: Cambridge University Press.

- BAMFORD-MILROY, Ian & BAMFORD-MILROY, Pat. 1997. *Helene Nahowski and Berg: an historical and musicological quest*. Spilsby, Lincs. UK: [Private issue].
- BAMFORD-MILROY, Ian. 2003. 'Review: *Analyzing recordings*, study day, University of Sheffield, 26<sup>th</sup> Oct. 2002'. *Newsletter of the Society for Music Analysis*, January 2003, pp.4-5.
- BAMFORD-MILROY, Pat. 2002. 'Alban Berg and Albine Wittula: Fliesch und Blut'. *Musical Times*, Winter 2002. Pp.57-62.
- BAREA, Ilija. 1966. *Vienna*. New York: Alfred A. Knopf.
- BARKER, Andrew. 1996. *Telegrams from the soul: Peter Altenberg and the culture of fin-de-siècle Vienna*. Columbia USA: Camden House.
- BATE, Philip. 1980. 'Saxophone'. *The New Grove dictionary of music and musicians*, First Edition, ed. Stanley Sadie. Vol. 16, pp.534-539.
- BAYLES, Martha. 1996. *Hole in our soul: the loss of beauty and meaning in American popular music*. Chicago: University of Chicago Press.
- BAZELON, Irwin. 1975. *Knowing the score: notes on film music*. New York: Van Nostrand Reinhold.
- BEADLE, Jeremy J. 1992. *Will pop eat itself?* London: Faber.
- BEAUMONT, Anthony. 2000. *Zemlinsky*. London: Faber & Faber.
- BEK, Josef. 1993. 'Alban Berg nennt sich mein neuer freund'. *Österreichische Musikzeitschrift*, vol. 48 (1993). Pp. 469-476.
- BENNETT, Clive. 1986. 'Maschinist Hopkins: a father for Lulu?'. *Musical Times*. Vol. 127, no. 1722 (Sept. 1986). Pp.481-4.
- BERG, Alban. 1915. Trans. Martin Cooper. Letter to Arnold Schoenberg dated November 1915. In Mosco Carner. *Alban Berg: the man and his work* (London, 1983), pp.277-284.
- \_\_\_\_\_. 1920. Trans. 'The musical impotence of Pfitzner's 'New Aesthetic''. In Willi Reich, 1963. Trans. Cornelius Cardew, 1965. *The life and work of Alban Berg*. London: Thames & Hudson. Pp.205-218.
- \_\_\_\_\_. 1924. Trans. 'Why is Schoenberg's music so difficult to understand?'. In Willi Reich, 1963. Trans. Cornelius Cardew, 1965. *The life and work of Alban Berg*. London: Thames & Hudson. Pp.89-204.
- \_\_\_\_\_. 1925. Open dedicatory letter *vis à vis* his Chamber Concerto to Arnold Schoenberg. In Willi Reich, 1963. Trans. Cornelius Cardew, 1965. *The life and work of Alban Berg*. London: Thames & Hudson. Pp.143-148.

- BERG, Erich Alban. 1976. *Alban Berg: Leben und Werk in Daten und Bildern*. Frankfurt am Main: Insel Verlag.
- BERENDT, Joachim E. 1953. Trans. H. & B. Bredigkeit with Dan Morgenstern, 1983. *The jazz book: from New Orleans to jazz rock and beyond*. London: Granada Publishing.
- BERGEROT, Frank & MERLIN, Arnaud. 1991. Trans. Marjolijn. De Jager, 1993. *The story of jazz: bop and beyond*. London: Thames and Hudson Ltd.
- BERLYNE, D.E. 1971. *Aesthetics and psychobiology*. New York: Appleton-Century-Crofts, Meredith Corporation.
- BLESH, Rudi. 1949. *Shining trumpets: a history of jazz*. London: Cassell and Company.
- BLOOM, Harold. 1973. 2<sup>nd</sup> edition, 1997. *The anxiety of influence: a theory of poetics*. London: Oxford University Press.
- \_\_\_\_\_. 1975. *A map of misreading*. New York: Oxford University Press.
- BLOM, Eric. 'A recondite subject'. *The Birmingham Post*. 4<sup>th</sup> April 1933. Reprinted 1941 in *A musical postbag*, ed. Eric Blom, pp.184-188.
- \_\_\_\_\_. (Ed.). 1941. *A musical postbag*. London: J.M. Dent.
- BOLTON, T.L. 1894. 'Rhythm'. In *American Journal of Psychology*. 1894(6). Pp. 145-238.
- BORETZ, Benjamin & CONE, Edward T. (Eds.). 1971. *Perspectives on American composers*. New York: W.W. Norton.
- BOULEZ, Pierre. 1948. Trans. Stephen Walsh, 1991. 'The current impact of Berg (the fortnight of Austrian music in Paris)'. *Pierre Boulez: stocktakings from an apprenticeship*, ed. Paule Thévenin, pp.183-5.
- \_\_\_\_\_. 1952(a). Trans. Stephen Walsh, 1991. 'Schoenberg is dead'. *Pierre Boulez: stocktakings from an apprenticeship*, ed. Paule Thévenin, pp.209-214.
- \_\_\_\_\_. 1952(b). Trans. Stephen Walsh, 1991. 'Possibly'. *Pierre Boulez: stocktakings from an apprenticeship*, ed. Paule Thévenin, pp.111-140.
- \_\_\_\_\_. 1953(a). Trans. Stephen Walsh, 1991. 'Stravinsky remains'. *Pierre Boulez: stocktakings from an apprenticeship*, ed. Paule Thévenin, pp.55-110.
- \_\_\_\_\_. 1953(b). Foreword to the miniature score of Alban Berg's Chamber Concerto (*Kammerkonzert*). Philharmonia: PH 423
- \_\_\_\_\_. 1979. Trans. Martin Cooper, 1986. 'Lulu'. *Pierre Boulez: orientations (selected writings)*, ed. Jean-Jacques Nattiez, pp.380-403.

- BOWEN, J.A. 1996. 'Tempo duration and flexibility techniques in the analysis of performance'. *Journal of Musicological Research*, 16(2), pp.111-156.
- BOWMAN, Wayne D. 1998. *Philosophical perspectives on music*. New York: Oxford University Press.
- BOZART, George S & FRISCH, Walter. 2001. 'Johannes Brahms'. *New Grove dictionary of music and musicians*, Second Edition, ed. Stanley Sadie. Vol.4, pp. 180-227.
- BRADFORD ROBINSON, J. 1988. 'Swing'. *New Grove dictionary of jazz*, First Edition, ed. Barry Kernfeld. Vol. 2, p508.
- BRAND, Juliane, HAILEY, Christopher & HARRIS, Donald. Eds. 1987. *The Berg-Schoenberg correspondence: selected letters*. London: Macmillan.
- BRUHN, Siglind (Ed.) 1998. *Encrypted messages in Berg's music*. New York & London: Garland Publishing..
- BROWN, Clive. 1999. *Classical and Romantic performing practice, 1750-1900*. Oxford: Oxford University Press.
- BURKHOLDER, J. Peter. 1991. 'Berg and the possibility of popularity'. *Alban Berg: historical and analytical perspectives*, ed. David Gable & Robert P. Morgan, pp.25-56.
- CARNER, Mosco. 1975. Revised 1983. *Alban Berg: the man and his work*. London: Duckworth.
- CLARE, George. 1980. Trans. 1981. *Last waltz in Vienna: the destruction of a family, 1842-1942*. Reissued, 1982. London: Pan Books.
- CLARKE, Donald (Ed.). 1990. *The Penguin Encyclopaedia of popular music*. London: Penguin Books.
- COE, Tony. 1999. *Tony Coe*. [Online] Available: <http://www.zahzah.com/artists/coet.html> [Accessed: 9th June 2000].
- COLLIER, James Lincoln. 1987. *Duke Ellington*. London: Michael Joseph.
- \_\_\_\_\_. 1993. *Jazz: the American theme song*. New York & Oxford: Oxford University Press.
- COOK, Deryck. 1959. *The language of music*. Oxford: Oxford University Press.
- COOK, Nicholas. 1987. *A guide to musical analysis*. London: J.M.Dent & Sons.
- \_\_\_\_\_. 1990. *Music, imagination and culture*. Oxford: Clarendon Press.
- \_\_\_\_\_. 1998. *Music: a very short introduction*. Oxford: Oxford University Press.

- COOK, Nicholas & EVERIST, Mark (Eds.). 1999. *Rethinking music*. New York: Oxford University Press.
- COOKE, Mervyn & HORN, David (Eds.). 2002. *The Cambridge companion to jazz*. Cambridge: Cambridge University Press.
- COOKE, Mervyn. 2002. 'Jazz among the classics, and the case of Duke Ellington.' *The Cambridge companion to jazz*, ed. Mervyn Cooke & David Horn.. Pp.153-176.
- COOPER, Grosvenor W. & MEYER, Leonard B. 1960. *The rhythmic structure of music*. Chicago: University of Chicago Press.
- DAHLHAUS, Carl. 1967. Trans. W.W. Austin, 1967. *Esthetics of music*. Cambridge: Cambridge University Press.
- \_\_\_\_\_. 1974. Trans. Mary Whittall, 1980. *Between Romanticism and Modernism: four studies in the music of the late nineteenth century*. Includes the Nietzsche fragment 'On words and music', trans. Walter Kaufman. Berkeley, Los Angeles & London: University of California Press.
- DALEN, Brenda. 1989. 'Freundschaft, Liebe, und Welt: the secret programme of the Chamber Concerto'. *The Berg companion*, ed. Douglas Jarman, pp.142-150.
- DAVISON, Archibald T. & APEL, Willi (Eds.). 1946 (revised 1949). *Historical anthology of music: oriental, medieval and renaissance music*. Cambridge, Mass.: Harvard University Press.
- DEVOTO, Mark. 1989. 'Berg the composer of songs'. *The Berg companion*, ed. Douglas Jarman, pp. 35-66.
- \_\_\_\_\_. 1991. 'Alban Berg and creeping chromaticism'. *Alban Berg: historical and analytical perspectives*, ed. David Gable & Robert P. Morgan, pp. 57-78.
- DOCTOR, Jennifer. 1999. *The B.B.C. and ultra-modern music, 1922-1936: shaping a nation's tastes*. Cambridge: Cambridge University Press.
- DONINGTON, Robert. 1963. *The interpretation of early music*. New York: St. Martin's Press.
- DORATI, Antal. 1979. *Notes of seven decades*. London: Hodder & Stoughton.
- DUNSBY, Jonathan & WHITTALL, Arnold. 1988. *Music analysis in theory and practice*. London & Boston: Faber Music.
- DUNSBY, Jonathan. 1992. *Schoenberg: 'Pierrot lunaire'*. Cambridge: Cambridge University Press.

- DWORSKY, Alan & SANSBY, Betsy. 2000. *How to play djembe: West African rhythms for beginners*. Minnetonhu, MN, USA: Dancing Hands Music (Mel Bay Publications).
- EHRENZWEIG, Anton. 1967. Reissued 1970. *The hidden order of art: a study in the psychology of artistic imagination*. London: Paladin.
- EITAN, Zohar. 1997. *Highpoints: a study of melodic peaks*. Philadelphia: University of Philadelphia Press.
- ELLINGTON, Edward Kennedy 'Duke'. 1938. 'Music is *Tops* to you and me...and swing is part of it'. *Tops*, 1938, pp14-18. In *Keeping time: readings in jazz history*, ed. Robert Walser, pp.106-110.
- EPSTEIN, David. 1995. *Shaping time: music, the brain and performance*. New York: Schirmer Books.
- ERENBERG, Lewis A. 1998. *Swingin' the dream: big band jazz and the rebirth of American culture*. Chicago & London: University of Chicago Press.
- EVERETT, Susanne. 1979. *Lost Berlin*. London & New York: Bison Books.
- FAINT, Pete. 2000. 'Jack Hylton vs. Igor Stravinsky'. [Online] *The Jack Hylton official homepage*, ed. Pete Faint; <http://www.petefaint.co.uk/jackhylton/strav.htm> [Accessed 24<sup>th</sup> Feb. 2001].
- FAULKNER, Anne Shaw. 'Does jazz put the sin in syncopation?'. In *The Ladies' Home Journal*. August 1921. Pp.16; 34. Reprinted in *Keeping time: readings in jazz history*, ed. Robert Walser, pp.32-36.
- FEISST, Sabine. 1999. Introduction to 'Schoenberg in America'. *Schoenberg and his world*, ed. Walter Frisch. Pp.285-288 (section continuing to p.309).
- FORTE, Allen. 1959. 'Schenker's conception of musical structure'. *Journal of music theory*, III(i), pp.1-130.
- \_\_\_\_\_. 1999. 'Reflections upon the Gershwin-Berg connection'. *The Musical Quarterly*, 83(2), pp.150-168.
- FRAISSE, Paul. 1956. *Les structures rythmiques: étude psychologique*. Paris: Editions Erasme S.A.
- FRANCIS, Bob. 2000. Booklet note for CD Vocalion CDEA 6030. *Dinner at eight: Carroll Gibbons and the Savoy Orpheans, Volume One (1931-34)*. Watford, Herts. UK: Vocalion.
- FRIBERG, Anders & SUNDSTRÖM, Andreas. 2002. 'Swing ratios and ensemble timing in jazz performance: evidence for a common rhythmic pattern'. In *Music Perception*, Vol. 19, No. 3 (Spring 2002), pp.333-349.



- FRIEDLANDER, Paul. 1996. *Rock and roll: a social history*. Boulder, Colorado: Westview Press.
- FRISCH, Walter (Ed.). *Schoenberg and his world..* Princeton, New Jersey: Princeton University Press.
- FULLER, David. 1980. 'Notes inégales'. *The New Grove dictionary of music and musicians*, First Edition, ed. Stanley Sadie, Vol. 13, pp.420-427.
- GABLE, David & MORGAN, Robert P. (Eds.). 1991. *Alban Berg: historical and analytical perspectives*. Oxford: Clarendon Press.
- GABRIELSSON, Alf. 1988. 'Timing in music and its relation to musical experience'. *Generative processes in music*, ed. John Sloboda. Pp.27-51.
- GEUSS, Raymond. 'Berg and Adorno'. 1997. *The Cambridge companion to Berg*, ed. Anthony Pople, pp.38-50.
- GILL, Brendan. 1971. Designed by Ben. Feitler, ed. Robert Kimball. *Cole: a biographical essay*. London: Michael Joseph.
- GIOIA, Ted. 1997. *The history of jazz*. New York: Oxford University Press.
- GRIFFITHS, Paul. 2002. 'Reich, Steve [Stephen] (Michael)'. *The New Grove dictionary of music and musicians*, Second Edition, ed. Stanley Sadie. Vol. 21, pp.124-129.
- GROSCH, Nils. 2001. 'Neue Sachlichkeit'. *The New Grove dictionary of music and musicians*, Second Edition, ed. Stanley Sadie. Vol. 17, pp.781-2.
- GRUN, Bernard (Ed.). 1971. *Alban Berg: Letters to his wife*. London: Faber and Faber.
- HAAS, Michael. 1996. 'An introduction to the series 'Entaertete Musik''. In booklet with CD Decca 452 664-2, *An introduction to Entaertete Musik*. London: The Decca Record Company. Pp.6-8.
- HAILEY, Christopher. 1997. 'Defining home: Berg's life on the periphery'. *The Cambridge companion to Berg*, ed. Antony Pople. Pp. 5-23.
- HALL, Patricia. 1996. *A view of Berg's Lulu through the autograph sources*. Berkeley: University of California Press.
- HANEY, Lynn. 1981. *Naked at the feast: the biography of Josephine Baker*. London: Robson Books.
- HARDY, Phil & LAING, Dave. Eds. 1987. *Encyclopaedia of rock*. London & Sydney: MacDonal Orbis.

- HARRIS, Jerome. 2000. 'Jazz on the global stage'. *The African diaspora: a musical perspective*, ed. Ingrid Monson. New York & Lincoln: Garland Publishing. Pp. 103-134.
- HASTY, Christopher. 1997. *Meter and rhythm*. Oxford: Oxford University Press.
- HEFLING, Stephen E. 1993. *Rhythmic alteration in seventeenth- and eighteenth-century music: notes inégales and overdotting*. New York: Schirmer Books.
- HELLER, Erich. 1952. *The disinherited mind: essays in modern German literature and thought*. Reissued 1961, Harmondsworth, Mdx. UK: Penguin Books.
- HENDRICK, Noel. 1974. Sleeve note to LP EMI EMT C 101 OC 066 95807, *Fred Astaire and Ginger Rogers: Swing Time; The Gay Divorce*. Hayes, Mdx. UK: EMI Records.
- HESSE, Hermann. 1945. *Das Glasperlenspiel*. Trans. Richard & Clara Winston. 1960. *The Glass Bead Game (magister ludi)*. Harmondsworth, Mdx. UK: Penguin Books.
- HODEIR, André. Trans. D. Noakes, 1956. *Jazz: its evolution and essence*. London: Secker and Warburg.
- \_\_\_\_\_. Trans. N. Burch, 1961. *Since Debussy: a view of contemporary music*. London: Secker and Warburg.
- HOIBERG, Dale H. (Vice President and Editor). 2002. *The New Encyclopaedia Britannica*. Fifteenth Edition. Chicago: Encyclopaedia Britannica Inc.
- HOLLOWAY, Robin. 1979. *Debussy and Wagner*. London: Eulenberg Books.
- HORWOOD, Wally. 1980. *Adolphe Sax 1814-1894: his life and legacy*. Bramley, Hampshire, England: Bramley Books.
- HOWELL, Peter, WEST, Robert & CROSS, Ian (Eds.). 1991. *Representing metrical structure*. London & San Diego: Academic Press Ltd.
- JABLONSKI, Edward. 1988. *Gershwin*. London: Simon & Schuster Ltd.
- JACOBS, Arthur. 1972. Reprinted with minor alterations 1973. *A short history of Western music*. Harmondsworth, Mdx. UK: Penguin Books.
- JARMAN, Douglas. 1979. *The music of Alban Berg*. London: Faber and Faber.
- \_\_\_\_\_. (Ed.). 1989(a). *The Berg companion*. London: Macmillan Press.
- \_\_\_\_\_. 1989(b). *Alban Berg: Wozzeck*. Cambridge: Cambridge University Press.
- \_\_\_\_\_. 1991(a). *Alban Berg: Lulu*. Cambridge: Cambridge University Press.

- \_\_\_\_\_. 1991(b). 'Man hat auch nur Fleisch und Blut': towards a Berg biography'. *Alban Berg: historical and analytical perspectives*, ed. David Gable & Robert P. Morgan. Pp.11-23.
- \_\_\_\_\_. 1997. 'Secret programmes'. *The Cambridge companion to Berg*, ed. Anthony Pople. Pp.167-179.
- \_\_\_\_\_. 2001. 'Berg (Alban Marie Johannes)'. *The New Grove dictionary of music and musicians*, Second Edition, ed. Stanley Sadie. Vol. 3, pp. 312-325.
- JONAS, Oswald. 1935. Trans. John Rothgeb 1972. *Introduction to the theory of Heinrich Schenker*. New York & London: Longman.
- JULIAN, Desmond G. 1970. Fifth edition, 1988. *Cardiology*. London: Baillière Tindall.
- JUNGK, Peter Stephan. 1987. Trans. Anselm Hollo, 1991. *Franz Werfel: a life in Prague, Vienna and Hollywood*. New York: Fromm International Publishing.
- KERMAN, Joseph. 1985. *Musicology*. London: Fontana/Collins.
- KATER, Michael H. 1992. *Different drummers: jazz in the culture of Nazi Germany*. New York: Oxford University Press.
- KEIL, Charles M. 1966. 'Motion and feeling through music'. *Journal of Aesthetics and Art Criticism*. 24. p337.
- KERNFELD, Barry (Ed). 1988. *The New Grove dictionary of jazz*, [First Edition]. London: Macmillan Press Limited.
- \_\_\_\_\_. 1988 'Beat'. *The New Grove dictionary of jazz*, [First Edition], ed. Barry Kernfeld. Pp. 85-88.
- \_\_\_\_\_. 1995. *What to listen for in jazz*. New Haven and London: Yale University Press.
- \_\_\_\_\_. (Ed). 2002. *The New Grove dictionary of jazz*, Second Edition. London: Macmillan Press Limited.
- KOFFKA, K. 1909. 'Experimental-Untersuchungen zur Lehrer Rhythmus'. In *Zeitschrift für Psychologie*. 1909 (52). Pp. 1-109.
- KORSYN, Kevin. 1991. 'Towards a new poetics of musical influence'. *Music Analysis*. Vol. 10, nos. 1-2 (March-July 1991). Pp.3-72.
- KRANER, Dietrich Heinz & SCHULZ, Klaus. 1972. *Jazz in Austria: historische Entwicklung und Diskographie des Jazz in Osterreich*. Graz, Austria: Universal Edition.

- 
- LARSON, Steve. 1999. 'Swing and motive in three performances by Oscar Peterson'. *Journal of Music Theory*. 43.2 (Fall 1999). Pp. 283-314.
- LEE, Christopher S. 1991. 'The perception of metrical structure: experimental evidence and a model'. *Representing metrical structure*, ed. Peter Howell, Robert West & Ian Cross. Pp.59-127.
- LERDAHL, Fred & JACKENDOFF, Ray. 1983. *A generative theory of tonal music*. Cambridge, Massachusetts: The M.I.T. Press.
- LEVI, Erik. 1994. *Music in the Third Reich*. Basingstoke, UK: Macmillan.
- LOCKSPEISER, Edward. 1936, revised 1963. *The master musicians: Debussy*. London: J.M. Dent.
- LONDON, Justin. 2004. *Hearing in time: psychological aspects of musical meter*. Oxford: Oxford University Press.
- LONITZ, Henri (Ed.). 1997. *Theodor W. Adorno & Alban Berg: correspondence, 1925-1935*. Cambridge UK: Polity Press.
- MACDONALD, Malcolm. 1976. *The master musicians: Schoenberg*. London: J.M. Dent & Sons.
- \_\_\_\_\_. 1990. *The master musicians: Brahms*. London: J.M. Dent & Sons.
- MACONIE, Robin. 1976. *The works of Karlheinz Stockhausen*. London & Boston: Marion Boyan.
- MAHLER-WERFEL, Alma. 1959. *And the bridge is love*. London: Hutchinson.
- MANN, Thomas. 1947. Trans. Helen T. Lowe-Porter, 1948. Reissued 1968. *Doctor Faustus: the life of the German composer Adrian Leverkühn as told by a friend*. London: Penguin Books.
- MELLERS, Wilfrid. 1967. 'Stravinsky and jazz'. In *Tempo*, 19<sup>th</sup> June 1967. Pp. 29-31.
- MEUMANN, E. 1894. 'Untersuchungen zur Psychologie und Aesthetik der Rhythmus'. In *Philosophische Studien*. 10 (1894). Pp. 249-322, 393-430.
- MEYER, Leonard B. 1956. *Emotion and meaning in music*. Chicago & London: University of Chicago Press.
- \_\_\_\_\_. 1967. *Music, the arts and ideas*. Chicago & London: University of Chicago Press.
- MITCHELL, Donald. 1963. Revised with a foreword by Edward W. Said, 1963. *The language of modern music*. London: Faber & Faber.

- MOLDENHAUER, Hans, in collaboration with MOLDENHAUER, Rosaleen. 1978. *Anton Webern: a chronicle of his life and work*. London: Victor Gollancz.
- MONELLE, Raymond. 1992. *Linguistics and semiotics in music*. Chur, Switzerland: Harwood Academic Publishers GBMH.
- MONSON, Karen. 1979. *Alban Berg*. London & Sydney: Macdonald's and Jane's Publishers Limited.
- MORGENSTERN, Dan. 2001. 'Reminiscences in tempo'. *Jazz: a history of America's music*, ed. Geoffrey C. Ward. London: Pimlico. Pp. 224-231.
- MORGENSTERN, Soma. 1995. *Alban Berg und seine Idole: Erinnerungen und Briefe*. Leck: zu Klampen Verlag Druck: Clausen und Bosse.
- NARMOUR, Eugene. 1977. *Beyond Schenkerism: the need for alternatives in music analysis*. Chicago: University of Chicago Press.
- NATTIEZ, Jean-Jacques. 1990. *Music and discourse: towards a semiology of music*. Princeton, NJ: Princeton University Press.
- NAUDÉ, Janet Joan. 1997. 'Lulu, child of *Wozzeck* and Marie: towards an understanding of Alban Berg, 'Master of the Smallest Link', through his vocal and dramatic music'. Ph.D. diss., University of Cape Town.
- NEUMANN, Frederick. 1989. *New essays on performance practice*. Rochester, N.Y.: University of Rochester Press.
- NICHOLSON, Stuart. 1990. *Jazz: the modern resurgence*. London: Simon & Schuster Ltd.
- \_\_\_\_\_. 2002. 'Fusions and crossovers'. *The Cambridge companion to jazz*, ed. Mervyn Cooke & David Horn. Pp.217-254.
- NIETZSCHE, Friedrich. 1886. Trans. R.J. Hollingdale, 1972. *Beyond good and evil: prelude to a philosophy of the future*. London: Penguin Books.
- PARIS, Barry. 1982. *Louise Brooks*. New York: Alfred A. Knopf.
- PEARSALL, Ronald. 1976. *Popular music of the twenties*. Newton Abbots, Devon UK: David and Charles.
- PERLE, George. 1985. *The operas of Alban Berg, Volume Two: Lulu*. Berkeley: University of Los Angeles Press.
- PERRY, David. 1996. *20<sup>th</sup>-century composers: jazz greats*. London: Phaidon.
- PEYSER, Joan. 1976. *Boulez: composer, conductor, enigma*. London: Cassell.

- PLEASANTS, Henry. 1969. *Serious music and all that jazz!: an adventure in music criticism*. London: Victor Gollancz.
- POPLE, Anthony. 1991. *Berg: Violin Concerto*. Cambridge: Cambridge University Press.
- \_\_\_\_\_. (Ed.). 1997. *The Cambridge companion to Berg*. Cambridge: Cambridge University Press.
- \_\_\_\_\_. 1997. 'In the orbit of *Lulu*: the late works'. *The Cambridge companion to Berg*, ed. Anthony Pople. Pp.204-226.
- PUFFETT, Derrick. 1989. 'Berg and German opera'. *The Berg companion*, ed. Douglas Jarman. Pp.197-220
- \_\_\_\_\_. 1997. 'Berg, Mahler and the Three Orchestral Pieces Op. 6'. *The Cambridge companion to Berg*, ed. Anthony Pople. Pp. 111-144.
- RAUMBERGER, Claus & VENTZKE, Karl. 2001. 'Saxophone'. *The New Grove dictionary of music and musicians*, Second Edition, ed' Stanley Sadie. Vol. 22, pp.352-358.
- REDLICH, H. F. 1957. *Alban Berg: the man and his music*. London: John Calder.
- REICH, Willi. 1963. Trans. Cornelius Cardew, 1965. *The life and work of Alban Berg*. London: Thames and Hudson.
- REPP, B.H. 1998. 'A microcosm of musical expression, 2: quantitative analysis of pianists' timings in the initial measure of Chopin's Étude in E Major'. In *Journal of the Acoustical Society of America*. 104(2), Pt. 1. Pp.1085-1100.
- RICHIE, Alexandra. 1999. *Faust's metropolis: a history of Berlin*. London: Harper Collins.
- RINGER, Alexander L. 1990. *Arnold Schoenberg: the composer as Jew*. Oxford: Clarendon Press.
- RUSHTON, Julian. 2001 'Hemiola'. *The New Grove dictionary of music and musicians*, Second Edition, ed. Stanley Sadie. Vol. 11, pp. 361-3.
- RUSSELL, George. 1985. Address on the occasion of Gil Evans receiving a Doctor *Honoris Causa*, New England Conservatory, 15<sup>th</sup> May 1983 (Courtesy of Gil Evans). In BERGEROT, Frank & MERLIN, Arnaud. 1991. Trans. Marjolijn De Jager, 1993. *The story of jazz: bop and beyond*. London: Thames and Hudson Ltd. Pp.114-5.
- RUSSELL, John. 1957. *Erich Kleiber: a memoir*. London: Andre Deutsch.
- RUSSELL, Ross. 1973. *Bird lives! The high life and hard times of Charlie 'Yardbird' Parker*. London: Quartet Books.

- SADIE, Stanley (Ed.). 1980. *The New Grove dictionary of music and musicians* [First edition]. London: Macmillan
- SADIE, Stanley (Ed.) & TYRRELL, John (Exec, Ed.). 2001. *The New Grove dictionary of music and musicians*, Second Edition. London: Macmillan Publishers.
- SALZER, Felix. 1952. *Structural hearing*. New York: Dover Publications.
- SALZMAN, Eric. 1967. 2<sup>nd</sup> Edit. 1974. *Twentieth century music: an introduction*. Englewood Cliffs, New Jersey: Prentice-Hall Inc.
- SCHACHTER, Carl. 1987. 'Rhythm and linear analysis: aspects of meter'. In *The Music Forum*. VI(1): Pp. 1-60.
- SCHAEFER, George W. 1994. Abstract for dissertation: 'Drumset performance practices on pop and blues hit recordings, 1960-1969' (DMA doc.: Arizona State University, 1994). In *Repertoire Internationale de Littérature Musicale*. XXVIII (1994), p.586.
- SCHENKER, Heinrich. 1935. Trans./Ed. OSTER, E. 1979. *Free composition (der freie Satz)*. New York: Schirmer Books.
- SCHOENBERG, Arnold. 1923. Trans. 'Krenek's *Sprung über den Schatten*'. *Style and idea*, ed. Leonard Stein. Pp.477-481.
- \_\_\_\_\_. 1928. 'A dialogue with his pupil Erwin Stein'. *Pult und Takestock*. Reprinted 1965 in accompanying sheet to LP CBS: SBRG 72268. *The music of Arnold Schoenberg, volume two*. USA.: CBS.
- \_\_\_\_\_. 1929? Aphorism I, 58. Trans. Jean & Jesper Christensen, 1988. *From Arnold Schoenberg's literary legacy: a catalog of neglected items*, ed. Jean & Jesper Christensen. Warren, Michigan, USA: Harmonic Park Press.
- \_\_\_\_\_. 1931. Trans. 'Linear counterpoint'. *Style and idea*, ed. Leonard Stein. Pp.286-295.
- \_\_\_\_\_. 1934. Trans. 'Why no great American music?' *Style and idea*, ed. Leonard Stein. Pp.176-181.
- \_\_\_\_\_. 1936. Trans. 'The teacher's testimonial'. In Willi Reich, 1963. Trans. Cornelius Cardew, 1965. *The Life and work of Alban Berg*. London: thames and Hudson.
- \_\_\_\_\_. 1938. Trans. 'George Gershwin'. *Style and idea*, ed. Leonard Stein. Pp.476-7.
- \_\_\_\_\_. 1940. 'Art and the moving pictures'. *Style and idea*, ed. Leonard Stein. Pp.153-7.

- 
- \_\_\_\_\_. 1946. Trans. 'Criteria for the evaluation of music'. *Style and idea*, ed. Leonard Stein. Pp.124-136.
- \_\_\_\_\_. 1947. Trans. 'Brahms the progressive'. *Style and idea*, ed. Leonard Stein. Pp. 398-441.
- \_\_\_\_\_. 1948. Trans. 'Today's manner of performing classical music. *Style and idea*, ed. Leonard Stein. Pp.320-1.
- \_\_\_\_\_. 1948-9. 'Music and morality'. Reprinted in *Schoenberg and his world*, ed. Walter Frisch. Pp.306-7.
- SCHUBERT, Giselher. 2001. *The New Grove dictionary of music and musicians*, Second Edition, ed. Stanley Sadie. Vol. 11, pp.523-38.
- SCHULLER, Gunther. 1968. *Early jazz: its roots and musical development*. New York: Oxford University Press.
- \_\_\_\_\_. 1989. *The Swing Era: the development of jazz 1930-1945*. New York and Oxford: Oxford University Press.
- \_\_\_\_\_. 2001. 'Third Stream'. *The New Grove dictionary of music and musicians*, Second Edition, ed. Stanley Sadie. Vol. 25, p.401.
- SEIBER, Matyás. 1945. 'Rhythmic freedom in jazz'. *Music Review*. 6 (1945). Pp. 30-41; 89-94; 160-171.
- SHAW, Arnold. 1987. *The Jazz Age: popular music in the 1920s*. New York: Oxford University Press.
- SHERLAW-JOHNSON, Robert. 1989. *Messiaen*. London: J.M. Dent.
- SILVESTER, Victor. 1977. *Modern ballroom dancing: history and practice*. London: Barrie & Jenkins.
- SIMMS, Bryan R. 1996. *Alban Berg: a guide to research*. New York: Garland Press.
- \_\_\_\_\_. (Ed.). 1999. *Schoenberg, Berg and Webern: a companion to the Second Viennese School*. Westport Connecticut: Greenwood Press.
- SIMON, George Thomas. 1967. 4<sup>th</sup> Edit. with a foreword by Frank Sinatra. 1981. *The big bands*. New York: Schirmer Books.
- SIMPSON, Josephine M.N. 1987. *Peter Altenberg: a neglected writer of the Viennese Jahrhundertwende*. Frankfurt am Main: Peter Lang.
- SLOBODA, John (Ed.). 1988. *Generative processes in music: the psychology of performance, improvisation and composition*. Oxford: Clarendon Press.



- 
- SMITH, Dr. Tony (Ed. in Chief). 2000. *The human body: an illustrated guide*. London & New York: Dorling Kindersley.
- STEARNS, Marshall. 1956. *The story of jazz*. New York: Oxford University Press.
- STEIN, Erwin (Ed.). 1958. Trans. Eithne Wilkins & Ernst Kaiser, 1964. *Arnold Schoenberg: letters*. London: Faber
- STEIN, Leonard (Ed.), Trans. Leo Black. 1975. *Style and idea: selected writings of Arnold Schoenberg*. Berkeley & Los Angeles: University of California Press.
- STORM ROBERTS, John. 1972. 2<sup>nd</sup> Edit. 1973. *Black music of two worlds*. London: Allen Lane Penguin Books.
- STRAVINSKY, Igor. 1936. Reprinted 1962. *Igor Stravinsky: an autobiography*. New York: W.W. Norton.
- STRAVINSKY, Igor & CRAFT, Robert. 1959. *Expositions and developments*. London: Faber.
- \_\_\_\_\_. 1962. *Stravinsky in conversation with Robert Craft*. Harmondsworth, Middlesex, England: Penguin Books Ltd.
- \_\_\_\_\_. 1968. *Dialogues and a diary*. London: Faber.
- STRAVINSKY, Vera & CRAFT, Robert. 1979. *Stravinsky in pictures and documents*. London: Hutchinson & Co. Limited.
- STRICKLAND, Edward. 2002. 'Philip Glass'. *The New Grove dictionary of music and musicians*, Second Edition. Vol. 9, pp.932-936.
- STUCKENSCHMIDT, H.H. 1951. Trans. Edith Temple Roberts & Humphrey Searle, 1959. *Arnold Schoenberg*. London: John Calder.
- Sub verbo* 'Heart'. GOETZ, Philip W. (Ed. in Chief), 1998. *New Encyclopaedia Britannica*, Fifteenth Edition. Volume 5, pp. 782-783.
- Sub verbo* 'Humour'. 2002. *New Encyclopaedia Britannica*, 15<sup>th</sup> Edition. Vol. 6, p.145.
- Sub verbo* [Music under the] 'Nazi system'. *Time Magazine*. 30<sup>th</sup> May 1938. [Pp.?]. *Time in Partnership with CNN*. [date?] [Online] Available: <http://www.time.com/time/magazine/article/0,9171,759790-1,00.html> Accessed 17/06/07.
- Sub verbo* 'The Playboy Panel: Jazz – today and tomorrow'. 1964. Reprinted 1999 as 'A jazz summit conference' in *Keeping time: readings in jazz history*, ed. Robert Walser. Pp.261-294.

- Sub verbo* 'Russian Orthodox Church'. 2002. *The New Encyclopaedia Britannica*, Fifteenth Edition, ed. Dale H. Hoiberg. Vol. 10, pp.257-258.
- Sub verbo* 'Swingle, Ward (Lamar)'. 2002. *The New Grove dictionary of jazz*, Second Edition, ed' Barry Kernfeld. Vol. 3, p.698.
- TAYLOR, Eric. 1989. *The A.B. Guide to music theory, part one*. London: ABRSM Publishing.
- THÉVENIN, Paule. 1966. Trans. Stephen Walsh, 1991. *Pierre Boulez: stocktakings from an apprenticeship*. Oxford: Clarendon Press.
- THOMPSON, Daniel N. 1999. Review of Martha Bayles, *Hole in our soul: the loss of beauty and meaning in American popular music* (Chicago: University of Chicago Press, 1996). In *Current Musicology*. No. 63, pp. 122-141.
- TIRRO, Frank. 1977. *Jazz: a history*. London: J.M. Dent and Sons Ltd.
- VLAD, Roman. 1974. Trans. Frederick Fuller, 1978. *Stravinsky*, Oxford: Oxford University Press.
- VONDENHOFF, Eleonore & MAUL, Andreas. 1989. "“Es war eine Freundschaft von ersten Augenblick an”": Eleonore Vondenhoff im Gespräch mit Andreas Maul über ihre Erinnerungen an Alban und Helene Berg'. *Österreichische Musik Zeitschrift*. 12 (1989). Pp. 601-610.
- WALSER, Robert (Ed.). 1999. *Keeping time: readings in jazz history*. New York & Oxford: Oxford University Press.
- WALSH, Stephen. 1988. *The music of Stravinsky*. Oxford: Clarendon Press.
- WEINER, Marc. A. 1993. *Undertones of insurrection: music, politics, and the social sphere in modern German narrative*. Lincoln & London: University of Nebraska Press.
- WHITCOMB, Ian. 1972. *After the ball: pop music from rag to rock*. Reissued 1973, Harmondsworth, Mdx. UK: Penguin Books.
- WHITTALL, Arnold. 1997. 'Berg and the twentieth century'. *The Cambridge companion to Berg*, ed. Anthony Pople. 1997. Pp. 247-258.
- \_\_\_\_\_. 2003. Review-article: 'American intelligences'. *Musical Times* (Spring 2003), pp.61-64.
- WIDMAIER, Tobias (Ed.). 1996. *Zum einschlafen gibt's genügend Musik: die Referente des Erwin Schulhoff – Kollogium in Düsseldorf am Mainz, 1994*. Hamburg: von Bockel.
- WILLIAMS, Eric. 1970. *From Columbus to Castro: the history of the Caribbean, 1492-1969*. London: André Deutsch.

- WILLIAMS, Martin. 1983. *The jazz tradition*. New and revised edition. Oxford & New York: Oxford University Press.
- WITKIN, Robert W. 1998. *Adorno on music*. London & New York: Routledge.
- WITMER, Robert. 1988. 'Notation'. *The New Grove dictionary of jazz* [First Edition], ed. Barry Kernfeld. Vol. 2, pp. 253-260.
- YANOW, Scott. 2001. *Classic jazz*. San Francisco: Backbeat Books.
- YEO, Douglas. 2000, orig. 1990. 'David Taylor, bass trombone: an appreciation and interview by Douglas Yeo, Part 1'. *The International Trombone Society Journal*, 19(4) (1990). [Online] Available: <http://www.yeodoug.com/taylor1.html> [Accessed: 22nd July 2000].

---

– **MUSICAL SCORES** –

BERG, Alban. 1907-08. Piano Sonata, Op. 1. Berlin: Robert Lienau, S. 9523. Vienna: Universal Edition, 8812. 1926.

\_\_\_\_\_. 1909-10. Four Songs for a singing part with piano, Op. 2. Berlin: Robert Lienau, 11520. Vienna: Universal Edition, 8813. 1928.

\_\_\_\_\_. 1910. String Quartet, Op. 3. Vienna: Universal Edition: 1925.

\_\_\_\_\_. 1912. Five Orchestral Songs on postcard texts by Peter Altenberg, Op 4. Vienna: Universal Edition, 14325. 1953.

\_\_\_\_\_. 1913. Four Pieces for clarinet and piano, Op. 5. Vienna: Universal Edition, 7485. 1924.

\_\_\_\_\_. 1914-15. Three Orchestral Pieces, Op. 6. Vienna: Universal Edition, 12194. 1923.

\_\_\_\_\_. 1914-21. Wozzeck, opera in three acts after Georg Büchner, Op. 7. Vienna: Universal Edition, 12100. 1955.

\_\_\_\_\_. 1923-25. Chamber Concerto for piano and violin with thirteen wind instruments. Vienna: Philharmonia, 423; Universal Edition, 8393. 1925.

\_\_\_\_\_. 1910/1925. Two songs: different settings of ‘Schliesse mir die Augen beide’ (words by Theodor Storm). Vienna: Universal Edition 12241, 1955. New edition, 1960.

\_\_\_\_\_. 1925-26. Lyric Suite for string quartet. Vienna: Philharmonia, 173; Universal Edition, 8780. 1927.

\_\_\_\_\_. 1929. Der Wein, concert aria for soprano to words by Charles Baudelaire, translated by Stefan George. Vienna: Universal Edition, 142186. 1966.

\_\_\_\_\_. 1928-33. Lulu, opera from Frank Wedekind’s tragedies Erdgeist and Pandora’s Box – Acts One and Two. Presented by H.E. Apostel, 1963; revised by Friedrich Cerha, 1979. Vienna: Universal Edition, 13640a. 1963.

\_\_\_\_\_. 1934-5. Lulu, opera from Frank Wedekind’s tragedies Erdgeist and Pandora’s Box – Act Three. Revised by Friedrich Cerha. Vienna: Universal Edition, 1364b. 1978.

\_\_\_\_\_. 1934. [Lulu-Suite] Symphonic Pieces from Lulu. Vienna: Universal Edition, 12674. 1955.

\_\_\_\_\_. 1935. Violin Concerto. Vienna: Philharmonia, 426; Universal Edition, 12195. 1936.

- BERLIOZ, Hector. 1830. *Episode de la vie d'un artiste: symphonie fantastique en cinq parties*, Op. 14. Zurich, London, NY: Eulenberg: E.E. 3622 No. 422 (no date).
- BOLTON, Cecil (Ed.). 1988. *I'll be seeing you: songs of World War II* [collection]. Woodford Green, Essex UK: International Music Publications. 10024.
- BORODIN, Alexander. 1887. *Polovetsian Dances from the opera Prince Igor*. London: Ernst Eulenberg Ltd., 6005. [date?].
- BRAHMS, Johannes. 1976. *Symphony No. 1 in C minor, Op. 68*. Vienna: Philharmonia, 130.
- \_\_\_\_\_. 1879. *Intermezzo in A; No. 6 from Klavierstücke, Op. 76. Brahms: Klavier-Werke, Band II*, ed. Emil Von Sauer. Frankfurt: Peters, 9488 (date?).
- \_\_\_\_\_. 1884. *Symphony No. 4 in E minor, Op. 98*. London: Boosey & Hawkes, 8486.
- BRAND, Max. 1928. *Maschinist Hopkins: opera in a prelude and three acts, Op. 11*. Vienna: Universal Edition, 8826. 1928.
- BRUCKNER, Anton. 1881. *Symphony No. 6 in A*. Vienna: Philharmonia, 446; Universal Edition, 2931. Date?
- BURKE, Joe (to words by Al Dubin). 1929. 'Tip toe through the tulips'. Reissued 2003 in *100 years of popular music: 20s, Volume 1*, ed. Carol Cuellar. London: IMP, 9817A. Pp.262-265.
- ELLINGTON, Duke (to words by Irving Mills & Mitchell Parish. 1933 'Sophisticated lady'. London: Lawrence Wright, 2661. 1933.
- \_\_\_\_\_ (to words by Eddie de Lange & Irving Mills). 1934. 'Solitude'. New York: Milson Publishing Corporation (1934).
- ESPOSITO, Tony (Ed.). 1995. *The golden era of jazz standards* [collection]. Miami: Warner Brothers.
- EVANS, Peter & LAVENDER, Peter (Eds.). 1999. *Great songs of the 20<sup>th</sup> century: 1900-1950* [collection]. London: Wise Publications, AM959189.
- FOSS, Peter (Ed.). 1988. *The elite bumper book* [collection]. Woodford Green Essex UK: IMP.
- GARLAND, Joe (to words by the composer). 1939. 'In the mood'. Reissued, 1987, in *Jazz standards: easy piano*, arr. Bill Boyd. Winona, Mn. USA: Hal Leonard, HL00365 139. Pp.13-17.

- GERSHWIN, George (to words by Ira Gershwin). 1926. 'Someone to watch over me'. Reissued 1995 in *The golden era of jazz standards*, ed. Tony Esposito. Pp.38-39.
- \_\_\_\_\_. 1926. 'Fascinatin' rhythm'. Melody line, harmony indications and words reprinted 1975, *Easy electronic keyboard music, No. 95: the best of George Gershwin*. Winona, Mn. USA: Hal Leonard Publishing, HL00243250. Pp.10-12.
- HANDY, W.C. (to words by the composer). 1913. 'Memphis blues'. Reissued 1999, in *Great songs of the twentieth century: 1900-1950*, ed. Peter Evans & Peter Lavender. Pp.86-90.
- IVES, Charles. 1911-12. *Three places in New England*. Bryn Mawr, Pennsylvania: Mercury Music, 456-0008. 1976.
- JONES, Isham (to words by Gus Kahn). 1924. 'It had to be you'. Reissued 1995 in *The golden era of jazz standards*, ed. Tony Esposito. Pp.63-65.
- JOPLIN, Scott. 1899. *Maple leaf rag*. Reprinted 1973 in *The best of Scott Joplin: a collection of original ragtime piano compositions*, ed. Bill Ryerson. USA: Shattengen International. Pp.5-8.
- \_\_\_\_\_. *The entertainer: a rag time two-step*. Reprinted 1973 in *The best of Scott Joplin: a collection of original ragtime piano compositions*, ed. Bill Ryerson. USA: Pp.21-25.
- KRENEK, Ernst. 1927. *Jonny spielt auf: opera in two acts, Op. 45*. Piano reduction with text by the composer]. Vienna, Leipzig: Universal Edition, 8621 (1927).
- MAHLER, Gustav. 1886. *Symphony No. 1 in D*. Vienna: Universal Edition, 2931. Date?
- \_\_\_\_\_. 1895-6. *Symphony No. 2*. Vienna, London: Universal Edition (1952).
- \_\_\_\_\_. 1909. *Symphony No. 9*. Vienna: Universal Edition, 3398. Date?
- McHUGH, Jimmy (to words by Dorothy Fields). 1928. 'I can't give you anything but love baby'. London: Lawrence Wright. (1928).
- MESSIAEN, Olivier. 1946-8. *Turangalîla-symphonie*. Paris: Durand, D. & F. 13666 (1953).
- MILHAUD, Darius. 1923 *La création du monde*. Paris: Éditions Max Eschig, M.F. 2402. 1923.
- MILLER, Glenn (to words by Mitchell Parish). 1939. 'Moonlight serenade'. London: Francis, Day & Hunter, 20766.

- PARKER, Ross (to words by Hugh Charles). 1939. 'We'll meet again'. Reissued 1988 in *I'll be seeing you: songs of World War II*, ed. Cecil Bolton. Pp.14-15.
- RAKSIN, David (to words by Johnny Mercer). 1945. 'Laura'. Reissued 1991, in *The forties – part two*, ed. Peter Foss. Woodford Green, Essex UK: International Music Publications. 17715. Pp.59-61.
- RYERSON, Bill (Ed.). 1973. *The best of Scott Joplin: a collection of original ragtime piano compositions*, ed. Bill Ryerson. USA: Shattingen International. 75/274/H/39066.
- SCHOENBERG, Arnold. 1899. Verklärte nacht, Op. 4. Arrangement for string orchestra by the composer, revised 1947. New York: Associated Music Publications, 96410. 1943.
- \_\_\_\_\_. 1909. Five Pieces for Orchestra, Op. 16. Frankfurt: Edition Peters, 3376a. 1922.
- \_\_\_\_\_. 1910-13. Die glückliche Hand, drama with music, Op. 18. Vienna, Universal Edition, 13615. 1917.
- \_\_\_\_\_. 1913-16. Four orchestral songs, Op. 22. Study score. Vienna: Universal Edition, 6060. 1917.
- \_\_\_\_\_. 1928. Variations for Orchestra, Op. 31. Vienna: Universal Edition. 12196 (1929).
- \_\_\_\_\_. 1928-9. Von heute auf Morgen, Opera in one act to words by Max Blonda Op. 32. Vocal score [English trans. by Eric Smith]. Mainz: Edition Schott, 5077.
- SOUSA, John Philip. 1889. *The Washington Post*. Reissued in *Marches past: famous marches arranged for piano solo*. London: Boosey & Hawkes (prob. 1980s, no date). Pp.67-69.
- STRACHEY, Jack. 1947 In party mood. London: Bosworth, 19734.
- STRAUSS, Johann II. 1867. The blue Danube, Op. 314. Reissued 1997, in *The great piano [sic] works of Johann Strauss*, ed. Dale Tucker. Pp.4-10.
- STRAVINSKY, Igor. 1918. Ragtime for eleven instruments. London: Chester, 22a. 1920.
- \_\_\_\_\_. 1919. Piano-rag music. London: J. & W. Chester, 2061 (1920).
- \_\_\_\_\_. 1937-38. Dumbarton Oaks, Concerto in E flat. Mainz: Edition Schott, 3527. 1938.

\_\_\_\_\_. 1946. Ebony concerto (dedicated to Woody Herman). New York: Edwin H. Morris, 10019.

STUART, Leslie (to words by the composer). 1987. 'Little Dolly Daydream'. Reissued 1999, in *Great songs of the 20<sup>th</sup> century: 1900-1950*, ed. Peter Evans & Peter Lavender. Pp.26-30.

TUCKER, Dale (Project manager). 1997. *The great piano [sic] works of Johann Strauss*. USA: Belwin Mills, 00448.

WEBER, Anton. 1909. Six Pieces, Op. 6. Vienna: Universal Edition, 12042, 12415. 1956.

YOUMANS, Vincent (to words by Irving Caesar). 1924. 'Tea for two'. Reissued 1988, in *The elite bumper book*, ed. Peter Foss. Pp.260-263.

ZEMLINSKY, Alexander. 1913-15. String Quartet No. 2, Op. 15. Vienna: Universal Edition . 1918 [Section from Fig. 138 cited in Antony Beaumont, Zemlinsky (New York, 2000), p.230].



---

– **AUDIO SOURCES** –

CD: BMG, 07863-66746-2. 1998. *Swingin' uptown: the Big Band Era, 1923-1957*. New York: BMG Entertainment; RCA Victor.

CD: BMG, 74321 55628 2. 1998. *The ultimate rock 'n' roll collection: blue suede shoes, Elvis*. USA: BMG, RCA.

CD: Cedar, GFS283. [No date]. *Tommy Dorsey: swing sensation*. Berkhamstead, Herts. UK: Going for a Song.

CD: Cedar, Digital Dejavu, 5-119-2. 1992. *The gold collection: John Coltrane*. Italy: Phonocomp.

LP: Columbia, 33CX1591. 1964. *Johannes Brahms: Symphony No 4 in E Minor*. P/B The New Philharmonia Orchestra, conducted by Otto Klemperer. London: EMI.

LP: Columbia, 33CX1943. 1966. *Anton Bruckner: Symphony No. 6 in A*. P/B The New Philharmonia Orchestra, conducted by Otto Klemperer. London: EMI.

CD: Continuum SBT 1004. 1991. *Webern conducts Berg: Violin Concerto*. P/B Louis Krasner, BBC Symphony Orchestra; with Berg, Lyric Suite, P/B Galimar Quartet. Germany?: Continuum.

CD: EMI 7243 8 36339 2 0. 1995. *That's rock 'n' roll: simply the best of rock 'n roll*. London: EMI records.

CD: Deutsche Grammophon, Classikon, 439 435-2. [No date]. *Alban Berg: Three Orchestral Pieces, Op. 6 (1914-5)*. P/B The Berlin Philharmonic Orchestra, conducted by Herbert von Karajan. 1973. *Alban Berg: Violin Concerto (1935)*. P/B Bayerischen Rundfunk, with Henryk Szeryng violin, conducted by Rafael Kubelik. 1971. *Alban Berg: Lyric Suite, three-movement adaptation for string orchestra (1928)*. P/B The Berlin Philharmonic Orchestra, conducted by Herbert von Karajan. 1974. Germany: Deutsche Grammophon.

CD: Deutsche Grammophon, 447 749-2. 1998. *Alban Berg: Altenberg Lieder [Five Orchestral Songs], Op. 4 (1912); Lyric Suite, three-movement adaptation for string orchestra (1928); Lulu-Suite [Symphonic Pieces from the opera Lulu] (1934)*. The Vienna Philharmonic Orchestra with Juliane Banse soprano, conducted by Claudio Abbado. Germany: Deutsche Grammophon.

LP: Harlequin, HQ 2014. 1984. *Jazz and hot dance in Austria, 1910-1945, Volume 5*. Crawley, West Sussex UK: Interstate Music.

CD: HEP 1010. 1997. *Casa Loma Orchestra: Casa Loma stomp*. UK: HEP Records.

CD: Jazz Classix JC 98001. 1998. *Jump for joy: Duke Ellington*. Merenberg, Germany: ZYX Music.

- CD: Living Era, AJA 5023. 1993. *Finest vintage jazz, 1917-1941*. London: Academy Sounds & Vision.
- CD: Music Digital, CD6061. 1997. *The best of Glenn Miller: 20 great melodies*. Beckenham, Kent UK: Delta Music.
- CD: Naxos Jazz Legends. 8.120509. 2000. *Duke Ellington: Cotton Club stomp, 1927-1931*. USA?: HNH International.
- CD: Naxos Jazz Legends. 8.120768. 2005. Benny Goodman, Vol. 4: *Sing, sing, sing, original 1937-1940 recordings*. USA: Naxos Rights International.
- CD: Naxos Nostalgia, 8.120635. 2002. *Hits of 1920: Whispering*. USA?: HNH International.
- Shellac 78: Parlaphon, P. 1309 11 Z. [No date – certainly pre-1925]. '*La lune indiscreète*'. Music & words by Maurice Yvan, Marek Weber. Germany: Parlaphon.
- Shellac 78: Philips, B21798H; P.B.547. [1950s]. '*Memories of you*'. (Blake, Rasaf). P/B The Benny Goodman Trio, with Rosemary Clooney (vocals). Side A.
- LP: Philips, BL 7572. 1965. *Jazz Sebastien Bach: les Swingles Singers*. London: Flamingo Music/BIEM.
- CD: Pulse, PDS CD 512. [No date]. *Fifty big band classics*. London: EMI Partnership.
- CD: QED 101. [1990s?]. *Dixieland jazz: the collection*. Aylesbury, Bucks. UK: MCPS
- CD: Retrieval RTR 79024. 2005. *Jack Hylton and his orchestra: 'Hot Hylton', 1926-1930*. Austria?: Challenge Records International.
- LP: Saydisc, SDL-117. [1970s]. *Pianola jazz: early piano jazz and ragtime played on pianola rolls*. Bristol: Specialized Recordings.
- CD: SOHOC011. [Date?]. *The Soho collection: jazz legends*. Uxbridge, Surrey UK: Union Square Music.
- CD: Sony Classical, SMK 45 838. 1990. *Alban Berg: Lulu-Suite [Symphonic Pieces from the opera Lulu] (1934); Der Wein (1929); Lyric Suite, three-movement adaptation for string orchestra (1928)*. P/B The New York Philharmonic Orchestra, conducted by Pierre Boulez. 1979; 1979; 1980. UK: Sony Corporation.
- CD: Sony Classical, SM2K 48 459. 1993. *Arnold Schoenberg: Gurrelieder; Four Orchestral Songs, Op. 22*. P/B The BBC Symphony Orchestra with various

vocal soloists including Yvonne Minton, conducted by Pierre Boulez. 1975; 1982. London: Sony Corporation.

CD: Sony Classical, SK 53959. 1995. Alban Berg: *Three fragments from 'Wozzeck' (1924); Three Orchestral Pieces, Op. 6 (1914-15); Lulu-Suite [Symphonic Pieces from the opera 'Lulu'] (1934)*. The MET Orchestra, conducted by James Levine. 1993. London: Sony Corporation.

LP: Spinorama, M-55, M-3092. [1960s]. *'Sophisticated lady': the music of Duke Ellington*. Bandleader series, Volume 3. [USA?]: Premium Albums.

CD: Swing Time, 2011. [No date]. *Isham Jones plays his own compositions, 1923-1934*. Hollis, New Hampshire: Swing Time Productions.

LP: The Golden Age, GX G1 2518 1. [1970s?]. *The golden age of Irving Berlin: sixteen classic tracks, 1931-1938*. Hayes, Mdx. UK: EMI Records Ltd.

LP: Turnabout, TV 4021. 1967. Alban Berg: *String Quartet, Op. 3 (1910); Lyric Suite for string quartet (1925-26)*. P/B The Ramor Quartet. London: Turnabout Records (Decca).

CD: Ultima 3984-2347-2. 1998. Milhaud: various works, including *Ballade pour piano et orchestre, Op. 61*. P/B Claude Heffer, Orchestre National de France, conducted by David Robertson. France: Erato Disques.

CD: Virgin VT DCD 308 7243 8 49518 2 5 LC 03098. 2000. *The classic rock collection: the best pub jukebox in the world...ever!* London: Virgin Records.

CD: Vocalion EA 6073. 2002. *Hitting a new high: Carroll Gibbons and his Boyfriends*. Volume 2. Watford, Herts. UK: Vocalion.

---

– **VISUAL SOURCES** –

Video Cassette: Decca, 074 101-3. 1996. *Entaerte Musik: the birth of a project*. London: Decca.

Film: London Films. 1947. *The third man*. On DVD: Studio Canal D038154, USA, 2002.

Film: MGM. 1952. *The bad and the beautiful*. On Video cassette: Vintage Classics, S056870. USA, 1998.

Film: Rainer Werner Fassbinder. 1980. *Lili Marleen*. On Video cassette: M.I.A. Video, V3424. Germany, 1995.

Film: Twentieth Century-Fox. 1944. *Laura*. On Video. CBS/Fox Video. All time Greats 1094. 1990. USA: CBS/Fox.

Film: Universal Pictures. 1953. *The Glenn Miller story*. USA: Universal Pictures.

Film: Warner Brothers. 1927. *The jazz singer*. On Video cassette: Warner Home Video, United Artists, PES 99321. USA, 1988.

Picture postcard: Photo Weitzman. [Late 1920s?]. *Charly Gaudriot: Leiter der Radio-Jazz Gaudriot*. [Vienna?] [www.vintagepostcards.com/catalog/i/i9577.jpg](http://www.vintagepostcards.com/catalog/i/i9577.jpg) [accessed 28/11/01].