

The name says it all

Multigenerational social mobility in Basel

(Switzerland), 1550–2019

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Online Appendix

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Online Appendix 1: Analysis of the elite's persistence

To complement the main results on overall social mobility in a society presented in Section 5, we additionally perform analysis on the elite's persistence. We look at the development of particular elite families' relative representation over time. There are two possible approaches for elite analyses. An exogenously (historically) defined elite can be observed over time, or the development of an endogenously defined elite based on the dataset can be observed and analyzed more closely. In the following, we look at both types of elites. We start with the exogenously defined elite. In Figure O.1, the focus is on Basel's "Daig families". Toward the middle of the 17th century, a trading elite emerged in Basel that owed its position in particular to its success in silk and cloth. Through the present, this group of long-established families are known as Daig in Basel, a term that comes from a dam or defense system. This name indicates that families who belonged to the Daig tried to distinguish themselves from the "new rich" (Sarasin 1997).

There is no list of families that belonged or still belong to the Daig. However, with the help of different sources, it is possible to identify 16 Daig surnames; they are listed in the notes of Figure O.1. Of course, not all of these families became prominent in Basel at the same time. For example, the Bernoulli family did not immigrate to Basel until the 17th century. As can be seen from Part A of the figure, these families were always quite heavily overrepresented at the University of Basel. This is also supported by the fact that five of the 10 most common surnames among the University of Basel's rectors since its foundation come from Daig families. Interestingly, there was a clear peak in the middle of the 19th century, which was reached over four generations of steady growth (with the exception of the 1794 generation). After this point, again, a quite steady relative social decline over four generations can be observed. Only in the most recent generation did the relative representation of Daig families at the University of Basel again show an increase.

Part B of Figure O.1 focuses on four of these 16 families. It is apparent that the course of events observed in part A is hardly recognizable. Instead, we observe relatively strong volatilities in individual families over the generations. It is also interesting to note that the relative

representation of certain families develops partly in parallel and in the same direction. Moreover, there are generations, such as the generation around 1800, where the four families are similarly represented at the University of Basel.

[Figure O.1]

Still, these elite families remain heavily over-represented in the entire period analyzed; their relative representation at the university is always multiple times greater than one. Figure O.2 makes this even more evident. There, father-son constellations are represented for the *Burckhardt* and *Bernoulli*'s families, which speaks to a high persistence over four generations. One should note that Figure O.2 gives an incomplete picture because the fathers depicted each had several children. While space prevents presenting the entire family tree here, this figure still provides important insights. It becomes evident that these two families, despite being over-represented at the University of Basel, were not universally academically renowned. While the Bernoulli family continued to build their reputation as a scholarly family beyond Basel, the Burckhardt family was involved in the silk cloth trade for many generations and was part of the guilds (especially the saffron guild). Thus, they had a formative influence on Basel's politics: during the 150 years from the middle of the 17th century to 1798 (the end of the guild republic amid the Napoleonic invasion), five Burckhardts were guild masters and seven became mayors of Basel (Teuteberg, 1990). It is evident that, at least in the past, the different characteristics of social status in a family were often similar across generations.

[Figure O.2]

To complement the analysis of these well-known Basel surnames, we additionally analyze the endogenously defined elite based on our dataset. As Figure O.3 shows, changes in status of the top families appear to occur at different speeds depending on the period under study. The elite's lowest segment is recorded between 1750 and 1900 (see part B of the figure). This is also consistent with the observation in our analysis of the Daig families. It is important to emphasize that some Daig surnames are represented in all three periods considered: Iselin, Socin, Bernoulli,

Burckhardt, and Vischer. A particularly striking fall of the elite is observable between 1900 and 2000 (part C of the figure). However, we must acknowledge that this phenomenon should not be interpreted directly as a sharp increase in social mobility. Instead, many surnames are equally represented in recent years, which means that the average ranking is much higher.

[Figure O.3]

These individual case studies are valuable for obtaining a first impression of the analysis of surnames and grasping that different status indicators like political representation, occupational status, or education are often linked with one another.

The illustrations give a first indication that the surname method is a good measure for underlying social status, as Clark (2014) claims. The success of this method is based on the fact that it captures family-specific characteristics that significantly influence social status. For example, particular customs, expressions, professional and private networks, and available financial resources, all of which are family-specific, can be decisive for an individual's social status. If the analysis is surname-based, these family-specific values are recorded. Thus, the surname-based approach is suitable for analyses on the elite's persistence. However, as our main analysis in Section 5 shows, the elite's persistence can differ from the overall mobility in a society. Therefore, we recommend applying the surname-based approach also to determine overall social mobility.

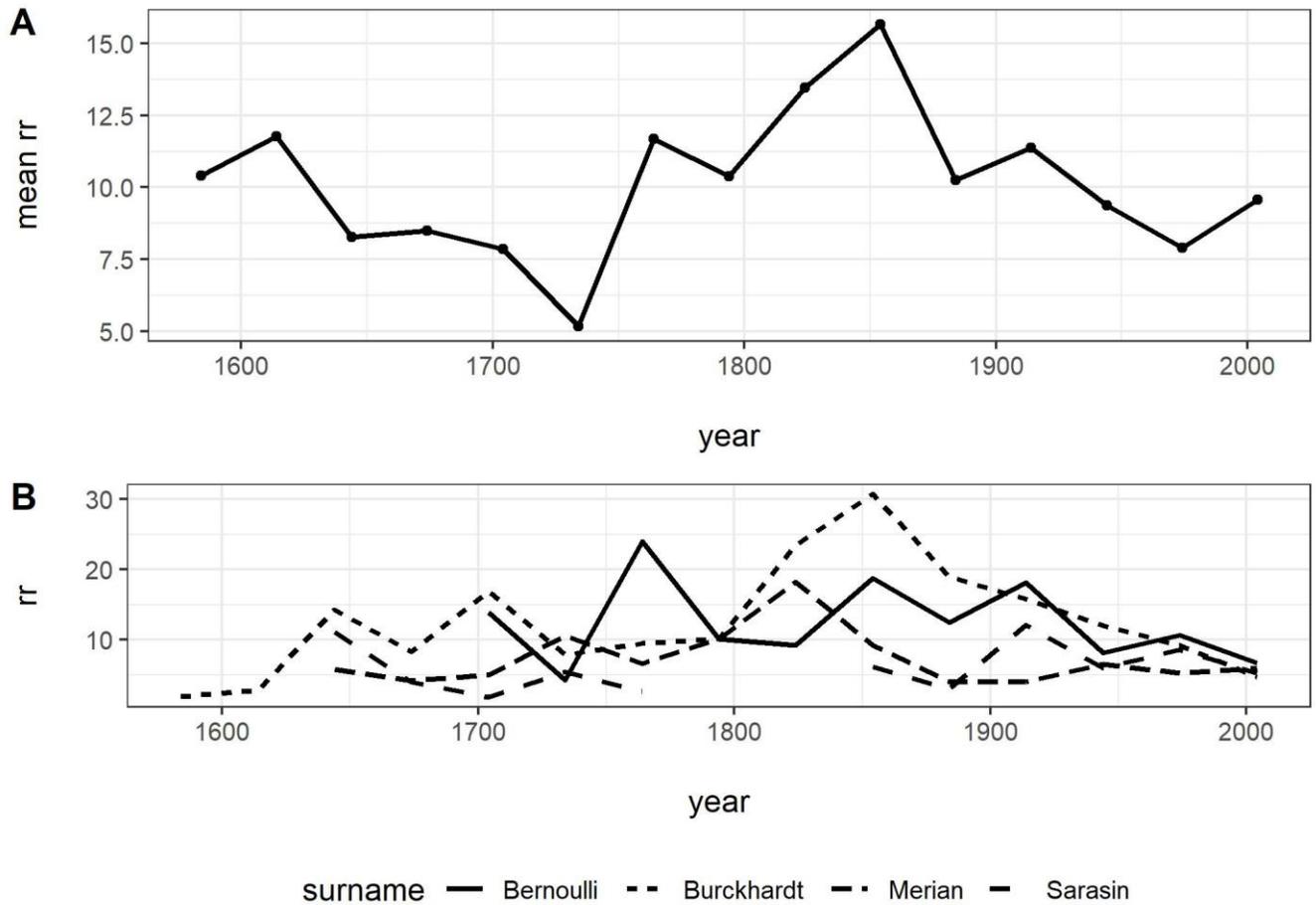


Figure O.1: Development of relative representation of *Daig* families at University of Basel
 Part A of the figure shows the mean relative representation (mean rr) of the so-called "Daig families": Bernoulli, Burckhardt, Christ, Faesch, Iselin, La Roche, Lichtenhahn, Merian, Oeri, Sarasin, Schlumberger, Socin, Staehelin, Vischer, Von der Mühl, Wackernagel. In Part B, the development of the relative representation (rr) is represented for four particular families.
 sources: see Data Appendix

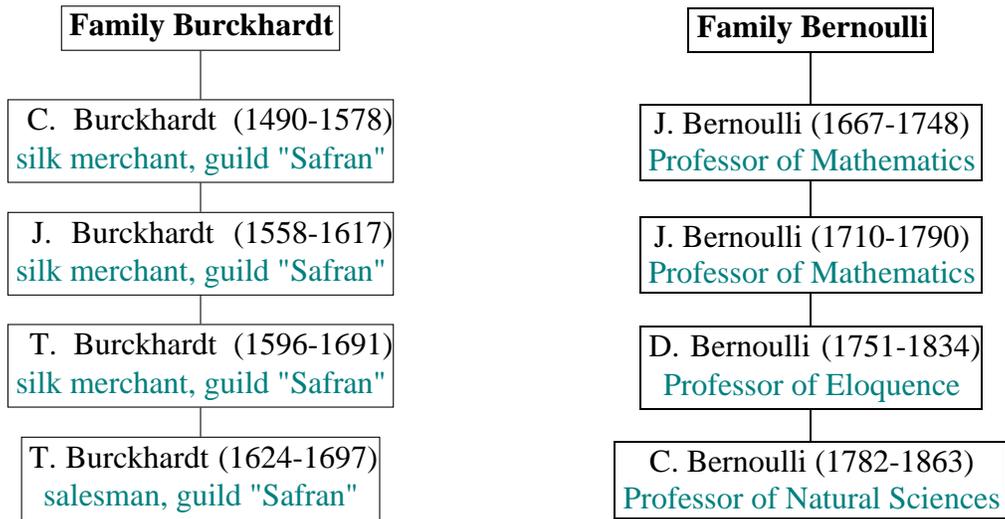


Figure O.2: Like father, like son in families Burckhardt and Bernoulli
 Extracts from the family trees of the Burckhardt and Bernoulli families
 source: Web application "Historische Personen des Kantons Basel"

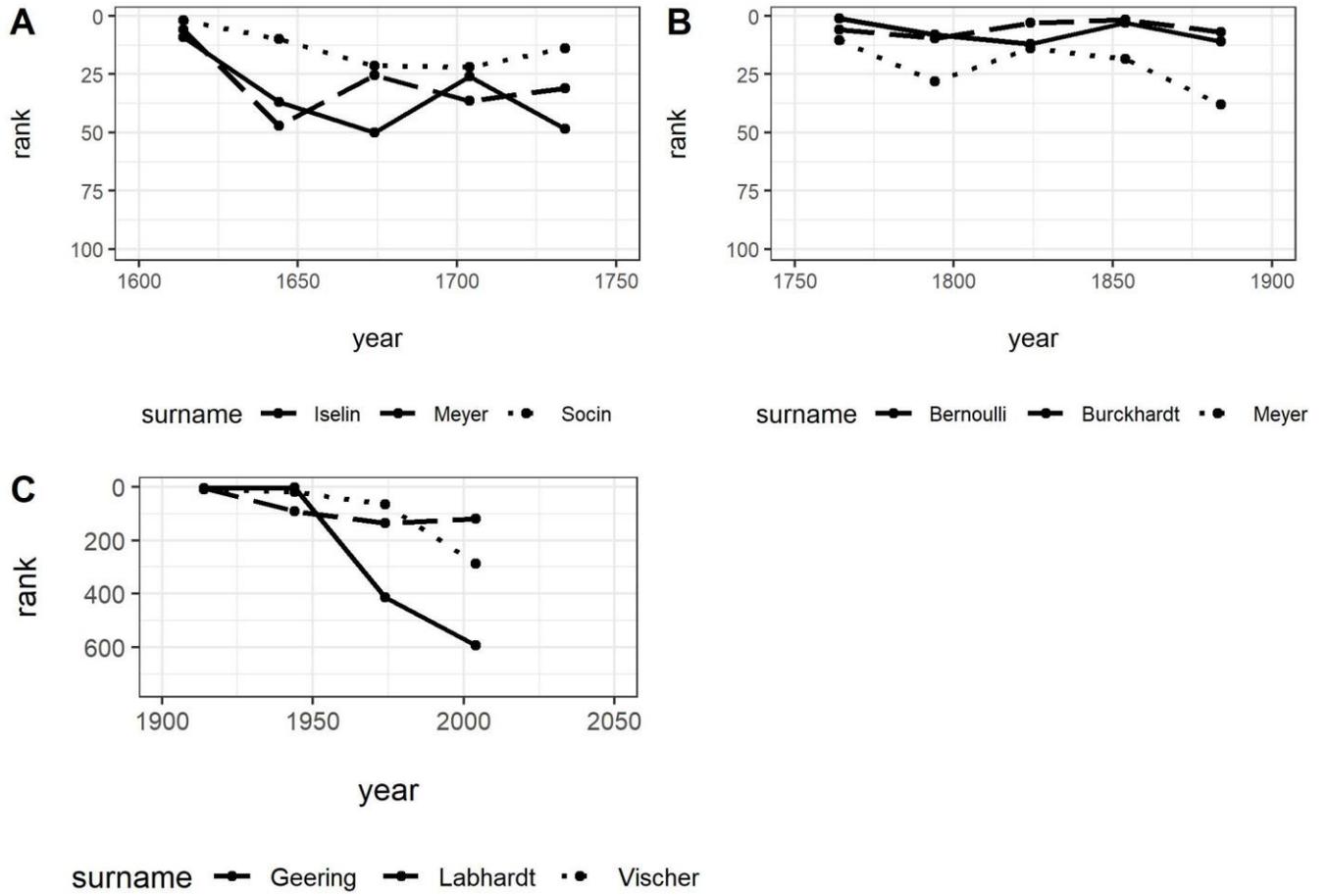


Figure O.3: Top-ranked families at University of Basel

This figure shows the development of ranks of top families at University of Basel over several succeeding generations.

sources: see Data Appendix

Online Appendix 2: Data Appendix

In the following, the individual registers are listed separately, whereby the description contains a hyperlink to the distinct directories in case they are accessible and publicly available online.

University data

1460-1529:

- edited matriculate register University of Basel, volume 1

1532/33-1600/01:

- edited matriculate register University of Basel, volume 2

1601/02-1665/66:

- edited matriculate register University of Basel, volume 3

1666/67-1725/26:

- edited matriculate register University of Basel, volume 4

1726/27-1817/18:

- edited matriculate register University of Basel, volume 5

1818/19-2000:

- original matriculates registers physically accessible at the Department of Manuscripts of the University Library Basel (special permit for data from 1960 onwards)

2002-2019:

- Data digitally available in the administration system of the University of Basel (special permit)

Births data

1490-1528:

- baptismal registers of the Theodor's church in Basel, physically accessible at the state archives of the Canton Basel

1529-1869:

- baptismal registers digitalized by the state archives of the Canton Basel

1870-1875:

- baptismal registers physically accessible at the state archives of the Canton Basel

1876-1928:

- birth registers physically accessible at the state archives of the Canton Basel

1929-2004:

- birth registers physically accessible at the civil registry office in Basel (special permit)

Inheritance tax data

1850 - 1907:

- individual years from the register of the control of inheritance fees physically accessible at the state archives of the Canton Basel

Guild master data

1550 - 2019:

- guild "zur Safran"
- guild "zu Schmieden"
- guild "zu Hausgenossen"
- guild "zu Weinleuten"
- guild "zu Brotbecken"
- guild "zu Schiffleuten"
- guild "zu Metzgern"
- guild "zu Fischern"
- not published list of the guild "zu Schuhmachern"
- not published list of the guild "zu Gerbern"
- not published list of the guild "zu Schneidern"
- not published list of the guild "zu Kürschnern"
- not published list of the guild "zu Webern"
- not published list of the guild "akademische Zunft"

Basel's (political) elite

1570-1600:

- supplementary material in Schüpbach-Guggenbühl (2002), see References

Census data

1850:

- Civil research project Basel Hospital Cemetery

Deaths data

1601-1900:

- Burckhardt

(1908), see Refer-

ences 1901-2019:

- Statistical Office of the Canton of Basel-Stadt, evaluations of natural population movements (Swiss Federal Statistical Office)

Population data

1601-1900:

- Burckhardt

(1908), see Refer-

ences 1901-2019:

- Statistical Yearbook of the Canton of Basel-Stadt

Naturalization data

1550-1798:

- Portmann (1979), see References

Grammar school "Gymnasium am Münsterplatz" data

1890-2019:

- Homepage of the grammar school with lists of former students