

Music in the Chaos

A Theoretical Analysis of Shostakovich's Fifth Symphony

A Music Honors Thesis
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*I would like to dedicate my thesis
to the following remarkable people
who have touched my life in the past 22 years:*

To Mom and Dad for your boundless support and loving nagging;

*To Marie and Charlie for late night chats, even later word games, and generally
being the best siblings I could ever ask for;*

To Uncle Larry (1945-2007), who was always ready with a smile and a bad joke;

To Michelle Collier (1985-2005) – not a day goes by that I do not think of you;

To Mrs. Gebhardt for molding my young mind and breaking it open again;

and finally, to my Grandma for being a pillar of strength, faith, and love.

I love you all.

Chapter 1

Introduction

The most amazing quality about music is its viscerality; some aspect of the music, be it the timbre, the melody, the harmony, the emotion, simply connects with something deep inside the listener. It stirs up some primal instinctual emotion that can occasionally manifest in a physical reaction. The greatest musical works have that effect in every broadcast, performance, or recording. I feel this same deep, intense connection every time I hear Shostakovich's Fifth Symphony.

My personal tie with Dmitri Shostakovich's Symphony No. 5 in D minor is more than just aesthetic: it was the first – and to date remains the only – full symphony I played. My college orchestra needed another flute player, and the conductor asked me if I would play the second flute part for the concert. Of course I jumped at the chance to actually play a symphony. It was only when I glanced over the score that I realized how much work it was going to be. The conductor also provided me with Leonard Bernstein and the New York Philharmonic's recording of the symphony in order to help me learn my part. I can remember the first time I put the CD on and heard those opening minor sixths. I was immediately struck by the urgency of the strings and the mournful tone of the opening theme. I have always been drawn to dark sounds, and the entire symphony, particularly the third movement Largo, revels in exquisitely beautiful, sad, and dark melodies. Almost the entire range of human emotion is present in these four movements. Although I have listened to the entire work countless times, I still feel as though I discover something new with each repeat. There is nothing simple about this symphony.

I chose to analyze Shostakovich's Fifth Symphony for my thesis because of my personal attachment to the work. It also is representative of an important twentieth-century composer

who managed to combine traditional classical form with more modern harmonies, creating a bridge between the old and the new. Shostakovich himself was an incredibly interesting person, and the mystique and ambiguity that surrounds him certainly makes his music more alluring. By analyzing the symphony thoroughly in both musical and theoretical terms, I hope to achieve a better understanding of Shostakovich's compositional techniques as well as the underlying themes and emotions that are so evident in the music. I will examine each movement separately, analyzing the form, developmental techniques, and musical idioms, and then discuss the different links between them that create such a masterfully unified whole.

Several other existing dissertations and scholarly books on Shostakovich's Fifth Symphony take a specific stance that allows for very little freedom in interpretation. Typically, the authors examine the musical content in light of Shostakovich's political situation and other external events and circumstances and finally offer an analysis of the music as it relates to the Russian government and Stalin's expectations. They try to view the work as Shostakovich speaking through the music and search extensively for hidden meanings and allusions that corroborate their interpretation. The concern with this approach to Shostakovich's music is the problem of over-analysis, of creating associations and conjuring political statements from the music that do not exist. Another related consequence is oversimplification. Music, particularly orchestral music, is by its very nature complex, and to impose a specific meaning on it belittles or depreciates all other possibilities and nuances within the work. The volatile atmosphere surrounding Shostakovich's life and the current arguments in scholarship attest to these varied meanings. As Brown notes in his criticism of this interpretation, 'if the music indeed embodies protest against communist repression, then the inference is but a step away that its surface intensity, fraught with vividly drawn contrasts, must seethe with the secret codes of anti-Soviet

dissidence' (335). Such a pointed interpretation excludes other denotations to a fault. Some who do not use the political viewpoint instead choose the musical quotation angle, isolating musical passages and motifs in the work that resemble those in pieces known to the Russian public or previously composed works by Shostakovich. The danger in engaging in this type of retrospective interpretation is similar to that of the singularly political view: it can create a determinate meaning that was not actually the composer's intention. It is difficult to assert this type of analysis unless there is significant supporting documentation in which the composer states his intent in self-quotation, as exemplified explicitly in the Eighth String Quartet. Both the political and referential methods of interpreting Shostakovich's Fifth Symphony add external biases to the analytical process that eventually prove detrimental to the overall meaning of the work.

My goal in undertaking this analytical thesis is to isolate the symphony and analyze it entirely self-referentially - with no outside influences or specific vantage points from which to decode the work. This does not mean that I will not comment on the political implications of the symphony but that I will refrain from doing so until my theoretical musical analysis of the work is complete. It is only in viewing the work as a whole cohesive statement that any true meaning can be derived from it. Given the nature of Shostakovich's public and political life in the twentieth century and the controversy over his purported memoirs in *Testimony*, separating the life and content of the music from the life and circumstances of the man is a daunting task. It is, however, one that to my knowledge remains undone. It is impossible to enter into a study of Shostakovich's music and remain ignorant of his complex relationship with the Russian government and Communist officials, particularly Stalin himself. It is possible, however, to

examine the intricacies of the symphonic structure, thematic development, and melodic and harmonic idioms without incorporating political stances or rhetoric.

This thesis, then, will propose an understanding of Shostakovich's Fifth Symphony that has not yet been fully discussed or realized. It is the author's hope that the following analysis will contribute in some way to the continued appraisal of Shostakovich's contributions to the musical world and, ultimately, the underlying message of his music.

Biography

Dmitri Dmitriyevich Shostakovich was born on September 12, 1906 in St. Petersburg, Russia. His parents exposed him to music beginning at a very young age, but he did not begin formal studies until the age of eight. His mother Sofia, herself a talented pianist, taught him in their home, quickly realizing her son's musical gifts. As Shostakovich said, 'It turned out that I had perfect pitch and a good memory. I learnt music very quickly, I memorized without repetitious learning – the notes just stayed in my memory by themselves' (Wilson 13). He continued to study piano privately until he entered the Leningrad Conservatory at the age of 13.

He studied piano performance and composition at the Conservatory under Alexander Glazunov, with instruction focusing mostly on the works and techniques of such composers as Rimsky-Korsakov and Tchaikovsky. For his final graduation piece, Shostakovich composed his First Symphony at the age of 19. His father died when he was much younger, leaving him in the position of family breadwinner. He began playing piano at the local cinemas, accompanying silent films with the score while mixing in and experimenting with his own compositions. Between his graduation from the Conservatory in 1925 and the Fifth Symphony in 1937.

In 1936, the Communist newspaper *Pravda* published an editorial lambasting Shostakovich's opera *Lady Macbeth of the Mtsensk District* after Stalin walked out of a performance. His next public offering, the Fifth Symphony, and his public comments on the work proved to Soviet officials that he accepted their criticism as valid and correct, effectively restoring him to their good graces.

Shostakovich rose to cultural importance as a paramount Soviet Communist throughout the 1940s, even appearing on the cover of *Time* magazine in a firefighter's helmet. In 1948, Shostakovich again was subject to official censure under the *Zhdanovschina*, an anti-formalist

document released by then- Central Committee secretary Antonin Zhdanov, another of Stalin's official puppets. Shostakovich answered this sudden shift in official attitudes by maintaining a low artistic profile, composing mostly film music and works "for the drawer." The circumstances of this ban's lifting are very strange: Stalin asked Shostakovich to travel to New York as a representative of the USSR for the Cultural and Scientific Conference for World Peace. Shostakovich refused claiming ill health, so Stalin made a personal phone call directly to him and asked why he refused. Shostakovich replied that his works, among others, were banned from performance in the USSR and he could not represent a country that would not perform his works. Stalin thusly lifted the ban and Shostakovich travelled to America.

The years following Stalin's death found Shostakovich exhuming many of the pieces he had composed previously but had been too 'difficult' for performance. Notable amongst these are his song cycle *From Jewish Folk Poetry*, the subject matter of which is repeated in his Thirteenth Symphony. In the last years of his life, Shostakovich's compositions turned increasingly more introspective with chamber pieces such as string quartets and violin concerti dominating his output. He died on August 9, 1975 from lung cancer.

Shostakovich's major contributions to the classical oeuvre are his fifteen string quartets and fifteen symphonies. Shostakovich himself was a very talented piano player, and his Piano Concerti and various preludes and fugues are also considered significant parts of piano literature in the twentieth century.

Basics

Dmitri Shostakovich composed his *Symphony No. 5 in D Minor* between April and July of 1937. During this period of time, he was in a perilous position following the publication of the editorial article 'Muddle Instead of Music' in the official Communist Party newspaper

Pravda that openly denounced his opera *Lady Macbeth of the Mtsensk District*. Shostakovich withdrew his Fourth Symphony from rehearsals due to a combination of official pressures and personal dissatisfaction. He continued to maintain a low artistic profile; thus the Soviet public had not heard any original symphonic works from him since his Third Symphony debuted in 1930. The Fifth Symphony received its premiere in Leningrad by the Leningrad Philharmonic Orchestra on November 21, 1937, under the baton of Yevgeny Mravinsky. Both the officials and the people of Russia needed something from Shostakovich, and his symphony was so remarkably powerful and varied that it was acceptable to both groups.

Shostakovich's *Symphony No. 5 in D Minor, op. 47* is made up of four movements. They are, in order: Moderato, Allegretto (Scherzo), Largo, and Allegro Non Troppo (Finale). Each movement is scored for the full orchestra with the exception of the Largo (this will be discussed at a later point). Shostakovich requires the following instruments for the symphony:

piccolo	contrabassoon
2 flutes	4 French horns
2 oboes	3 trumpets
soprano clarinet (Eb)	3 trombones
2 clarinets	3 tubas
2 bassoons	Full strings (violin, viola, cello, double bass)

In the tradition of large-scale symphonic composers such as Beethoven and Mahler, Shostakovich also uses an unconventionally high number of percussion and keyboard instruments. The following instruments round out the score:

timpani	glockenspiel/orchestral bells
triangle	xylophone
snare drum	celesta
cymbals	2 harps
bass drum	piano
tam-tam	

The complete orchestral list of instruments is quite impressive and displays the dynamic range and intended grandiosity of the work as a whole. Using this large variety of instruments ensures that Shostakovich can create the massive sound and expression that his contemporary audience expected of him.

The process of examining each movement separately will highlight the different forms, motives, and techniques of motivic development that Shostakovich employs in his *Symphony No. 5*. These small details are the building blocks for the entire work, and Shostakovich's true genius lies in his ability to use and reuse them in innovative ways.

Chapter 2

Movement I: Moderato

Form

The first movement of Shostakovich's Fifth Symphony is in sonata form, though it does not exactly take the form that his predecessors established as compositional tradition. Basic sonata form includes three major parts: an exposition with a main theme, bridge, and secondary theme; a development section that manipulates and rewrites the themes in different ways; and a recapitulation that restates the main theme and the second theme in the 'home key,' sometimes followed by a coda. Shostakovich employs sonata form, the traditionally classical archetypal form, and structures the music accordingly. Although superficially the music fits the sonata mold, Shostakovich pushes the boundaries of the sonata through his slight deviations from tradition.

The main theme of the first movement (Figure I.1) comes at measures 6-10, beginning with a simple descending figure that outlines the D-minor scale:

Figure I.1



The lowered second tone in measure 7, Eb, indicates the D-phrygian mode, another musical idiom that Shostakovich reuses throughout the work. This simple figure is followed by three measures of alternating rhythmic pace, a range that spans over an octave, and many non-

harmonic chromatic tones that further emphasize the unsettling minor key. Each consecutive measure seems to descend in tonality: measure 8 has a semblance to C minor while the downward figure in measure 9 is in Bb minor. The main theme concludes with a jagged rhythm similar to that of the opening motto that signals the beginning of a transitional section that expands on many of the melodic ideas contained in the main theme. The bridge then begins the change from Gb major to Eb minor.

The second theme begins at measure 50 in the key of Eb minor, a mere half-step up from the original key of D minor (Figure I.2). This modulation is a very twentieth-century harmonic idiom as the keys are very distantly related. Though uncommon, the key change mirrors the lowered second degree of the Phrygian modal scale that Shostakovich utilizes in the main theme. It is again only the string section that states the theme; this time, however, Shostakovich adds a harp for an additional lyrical quality. The violins take the melody and the lower strings provide a strict pulsating beat with the harp plucking a chordal accompaniment:

Figure I.2

The musical score for Figure I.2 consists of two systems of staves. The top system features two staves with the instruction "non arpeggiato" above them. The first measure shows a chordal accompaniment with notes Gb, Bb, and Eb, marked with a piano (*p*) dynamic. The bottom system features four staves. The first measure is marked "div." and "p". The second measure is marked "p espr." and includes a violin (*v*) entry. The harp part is indicated by a harp symbol and a melodic line with a slur. The score concludes with a key signature change to Eb minor, indicated by a double flat sign.

Figure I.2 (cont.)

The musical score is divided into three systems, each containing an Arpe (Arpeggiated) part and an Archi (Archi) part. The Picc. (Piccolo) part is introduced in the third system.

System 1 (Measures 54-58):
Arpe: Treble and Bass clefs, key signature of two flats. Chords are sustained in the upper register.
Archi: Violin and Viola staves (top two) play a melodic line with slurs. Violoncello and Contrabasso staves (bottom two) play a rhythmic accompaniment of eighth notes.

System 2 (Measures 59-63):
Arpe: Treble and Bass clefs, key signature of two flats. Chords are sustained in the upper register.
Archi: Violin and Viola staves (top two) play a melodic line with slurs. Violoncello and Contrabasso staves (bottom two) play a rhythmic accompaniment of eighth notes.

System 3 (Measures 64-68):
Picc.: Piccolo staff, key signature of two flats. A melodic line is introduced in measure 64, marked with a *p* dynamic.
Arpe: Treble and Bass clefs, key signature of two flats. Chords are sustained in the upper register.
Archi: Violin and Viola staves (top two) play a melodic line with slurs. Violoncello and Contrabasso staves (bottom two) play a rhythmic accompaniment of eighth notes.

Measure numbers 54, 59, and 64 are indicated at the start of their respective systems. Measure numbers 10 and 11 are indicated in boxes above the Arpe staves in the second and third systems, respectively.

The second theme is musically reminiscent of both the opening motto theme and the main theme in intervals and rhythm. There is a direct relationship between the motto and the second theme; the second theme uses the same rhythm as the motto, but the note durations are augmented.

Percussive minor intervals in the lowest register introduce the piano into the instrumental palette at the beginning of the development section at measure 120. Characteristic of the classical development tradition, Shostakovich manipulates both his themes in various ways: he adds and subtracts instruments, modulates frequently, alters the themes' shape and direction, treats the themes fugally, and fragments them so he can extract every harmonic possibility from them. Features of the development section include the presence of the piano, the militaristic styling at measure 188 (see Figure I.7), and the frantic building of tension through dissonance and instrumental layering.

One of the most striking moments instrumentally in the first movement occurs at measure 243, the beginning of the recapitulation, when the entire orchestra plays in unison. All the string and wind instruments play the same melody from mm. 18-26 though they do not return to the original key of Dm until later. Each phrase is punctuated by a loud open fifth in the brass and bass instruments along with a timpani roll and cymbal crash. This constitutes a bold move on the part of Shostakovich; the unison technique is rarely used in symphonic literature. The forceful sound of so many instruments further accentuated with brass crescendos and drum rolls contributes to the ominous and heavy atmosphere of the entire movement and in turn the symphony as a whole.

The final structural element of the sonata is the coda. The coda contains several musical excerpts from the very beginning of the movement, providing a circular structure to the movement. The low strings resume the ostinato figure from the first measures, the flute solo is a

reversal of the main theme, and the piccolo and violin soli are scales reminiscent of the oboe's Phrygian. The straight eighths rhythm recalls the second theme while the chromatic creeping of the celesta adds a new but still portentous sound to the work.

Motives

Shostakovich's motives are perhaps the most defining features of this symphony. The opening measures, played exclusively by the string section, contain several motives that reappear frequently throughout the movement, some extending to the entire symphony. The first of these is the motto theme of the rising and falling minor sixth (Figure I.3):

Figure I.3

The musical score for Figure I.3 is titled "Moderato" with a tempo marking of a quarter note equal to 76 (♩ = 76). It is in 4/4 time and features a key signature of one flat (B-flat major or D minor). The score is arranged for five string parts: Violini I, Violini II, Viole, Violoncelli, and Contrabassi. The music begins with a series of sixteenth notes, followed by a prominent interval of a rising and falling minor sixth (G4 to F4 and F4 to G4). The dynamics are marked with a forte (f) dynamic. The score shows the first few measures of this motif across the string staves.

A motto is a brief phrase or motif that recurs at various points in a work (NGD). In Shostakovich's symphony, it is an aurally striking interval that leaves no doubt as to the minor tonality of the work. The jagged rhythm of the thirty-second-double-dotted eighth note figure gives the impression of a frightening urgency – an imposing start to a symphony. Further discussion of this motive and its use throughout the symphony can be found in Chapter 6.

The figure in measure 3 of the eighth-note with two faster notes, here represented by a dotted eighth with thirty-second notes (Figure I.4), becomes a major developmental technique later on in the movement:

Figure I.4



The downward shape of the overall motive combines with the rhythm to form an important motive that reappears throughout the movement as a developmental technique. The quicker notes are non-harmonic tones that add flourish in approaching the first note of each figure, a melodic idiom that Shostakovich reuses throughout the work. Also contained in measure 3 is the first instance of contrary motion, another prominent feature of the entire symphony that will be subject to further discussion. In this example, the lower and upper voices are coming together for a closer sound that lends itself to the introduction of the main theme.

The final important motive appears in measure 4 and is composed of three straight eighth notes on the same repeated pitch (Figure I.5):

Figure I.5



Though this may seem too simplistic to be a true motive, its continued placement throughout the symphony in both harmonic and melodic phrases reflects its importance as a recurring developmental motive. In this case, it allows the ascending bass line to slow down its harmonic rhythm, increasing tension and dissonance until it reaches the octave complimenting the repeated notes. As will be noted later, this motive can also be modified into a figure with two straight eighth notes followed by a quarter note.

Shostakovich establishes these simple motives in the beginning of the movement. Their recurrence throughout each section of the sonata form lends a cohesive sound to a work that can be tonally challenging.

Developmental Techniques in Movement I

Shostakovich clearly utilizes sonata form to great effect in the Moderato movement of his Fifth Symphony. The majority of the movement is development of the themes and motives presented in the beginning of the work. Many sections of the movement directly or implicitly recall other familiar sections but present it in a new way. The means by which Shostakovich accomplishes this merits a detailed analysis and will now be explored.

The motto theme (Figure I.3) is perhaps the most easily recognizable theme in the work. The ominous character and potency of the rising and falling minor sixth fit well into the fabric of the movement as a harbinger of both modulation and increasing tension. A few measures later, for example, Shostakovich uses the motto to introduce the C minor key with a softly echoing bassoon underneath furiously quiet violin tremolo. The original motto was in both lower and upper voices; confining it to the bass voices and eliminating the fugal echo changes the aural texture. Shostakovich returns to the D minor tonic later and the motto serves as a pivot point. The woodwinds have just asserted their presence, and the upper strings add the motto over the

bassoon and cello playing a section of the main theme. The following measures introduce a fuller orchestra sound with the addition of winds, French horns, and trumpets to the strings. This lasts for only a brief period, however; the motto reappears in its original key and fugal pattern in the strings. A half-step shift (discussed in chapter 6) provides all the means necessary for the complete modulation to the second theme.

The motto theme makes a dramatic reentrance at measure 217 of the development section, in which the upper winds and strings face off in a fugue with the lower strings, bassoons, and clarinets (Figure I.6). The passage begins in B \flat minor, but the intervals expand as the tonality begins to wander.

Figure I.6

The musical score for Figure I.6, measures 33-36, is presented in a multi-staff format. The instruments and their parts are as follows:

- Picc.**: Piccolo, measures 33-36.
- Fl.**: Flute, measures 33-36.
- Ob.**: Oboe, measures 33-36.
- Cl. picc.**: Clarinet in E-flat, measures 33-36.
- Cl.**: Clarinet in B-flat, measures 33-36.
- Fag.**: Bassoon, measures 33-36.
- C-fag.**: Contrabassoon, measures 33-36.
- Cor.**: French Horns, measures 33-36, marked *fff espr.*
- Tr-be**: Trombones, measures 33-36.
- Tr-ni e**: Trumpets in E-flat, measures 33-36.
- Tuba**: Tuba, measures 33-36.
- Timp.**: Timpani, measures 33-36.
- Archi**: Strings, measures 33-36.

Measure 33 is marked with a box containing the number 33. The score shows a complex fugue-like texture with overlapping melodic lines and dynamic markings such as *fff* and *espr.* (espressivo).

Shostakovich sustains this rhythm for a full 25 measures while the brass section plays a similarly fugal treatment of the second theme underneath. The variation in the intervals and the extreme highs of the upper voices lend a crazed, almost maniacal tone to this section. The fugue voices finally settle into octave jumps from A to A in the same dotted rhythm, a line mimicked by the entering xylophone. The brass catch up harmonically, landing on vacuous open fifths on D-A before the beginning of the recapitulation.

Shostakovich confines the final two recurrences of the motto theme to the bass voices, where it reprises its function as a signal of both an upcoming modulation and a shift in intensity. After a loud and frightening unison passage in the recapitulation, the motto theme returns in the low register wind, string, and brass instruments. This is the only moving part against an ostinato A in the pattern of motive 4 and has a vague G minor tonality, though this is difficult to pinpoint. Immediately following this repetition of the motto is the recapitulation of the second theme; thus the motto in this case serves as an indicator of modulation and as a bridge between themes. The final instance is in the coda just several measures away from the movement's close. Shostakovich gives the motto this time only to the celli and double basses for the span of three measures. The motive itself works its way down as the key modulates from Eb minor down the half-step to D minor to conclude the movement.

Shostakovich utilizes the main theme for the majority of the development section, transposing and morphing it in various ways. He starts right at the opening measures of the development, giving the French horns the main theme in F Phrygian over a C minor accompaniment in the piano and low strings. This is an example of Shostakovich's use of the extremes of instruments' ranges; the French horns are playing at the absolute lowest part of their audible range at half the speed of the original theme. The trumpets then enter with the main

theme in E Phrygian with a G minor accompaniment. The fugal texture is further augmented when the winds enter, increasing the rhythmic tempo before exploding into a flurry of activity.

Measure 188 begins the most prominent variation on this theme (Figure I.7). Some analyses have indicated this measure as the beginning of the recapitulation, but the theme is so different that it is nearly unrecognizable. What was formerly a lyrical string motive is transformed into a bombastic military affair with trumpets playing a variation of the main theme accompanied by pounding timpani beats and precise snare rolls.

Figure I.7

27] Poco sostenuto ♩ = 126

The musical score for Figure I.7 consists of two systems, each containing two measures. The tempo is marked 'Poco sostenuto' with a quarter note equal to 126 beats per minute. The score is in E Phrygian mode and G minor. The first system shows the trumpet part with a variation of the main theme, and the second system shows the trumpet part with a variation of the main theme. The accompaniment consists of timpani and snare rolls. The score includes a first ending for the trumpet part: 'I. II muta in B'.

27] Poco sostenuto ♩ = 126

Figure I.7 (cont.)

Musical score for measures 187-190. The score includes parts for Tr-be (Trumpet B-flat), Tuba, Timp. (Timpani), and T-ro (Tom-tom). The Tr-be and Tuba parts feature complex rhythmic patterns with accents and slurs. The Timp. part consists of a steady quarter-note pulse. The T-ro part features a continuous eighth-note pattern. The string section (Archi) is present but has no notation for these measures.

190

Musical score for measures 191-193. The score includes parts for Picc. (Piccolo), Fl. (Flute), Ob. (Oboe), l. picc. (Left Piccolo), Tr-be, Tuba, Timp., and T-ro. A rehearsal mark [28] is placed above measure 191. The Picc., Fl., and Ob. parts enter in measure 191 with a dynamic of *p* and a *cresc.* marking, reaching *ff* by measure 193. The Tr-be and Tuba parts continue with complex rhythmic patterns. The Timp. and T-ro parts maintain their steady patterns. The string section (Archi) is present but has no notation for these measures.

193

The trumpet melody reprises the entirety of mm. 6-13, creating a jagged eighth-sixteenth note rhythm. The excerpt has a very ambiguous tonality: the timpani, tuba, and pizzicato basses maintain an F major I-V ostinato, but the melody above it strays completely out of the tonic key both chromatically and harmonically. The addition of the winds to the brass and percussion for another repeat of the main theme creates the sound of a military marching band, with the timpani keeping the steady 1-2-3-4 pulse and nearly every beat punctuated with a chord. This time the key approximates A minor/C major, but with the same underlying percussion accompaniment as previous measures. The lowered second degree (Bb) in measure 196, however, is an indication of the A Phrygian mode; if this is the case, then the F major I-V ostinato is harmonically appropriate.

The main theme reappears in the first measures of the coda where the flute plays a mournful solo, a rising figure in its low register. The theme here is reversed but in the same rhythm with the lowered pitch coming in the same position as it did in the original. This time, however, the theme is in E Phrygian with the lowered F and a lowered A. The A is lowered most likely for parallelism with the original statement in both visual and aural structure. Instead of ending the phrase there, the half note ties to a half note in the next measure, where the theme is repeated starting on a B. By the time the piccolo enters in unison with the flute, Shostakovich has already modulated back to D minor.

Shostakovich reworks his second theme using much the same techniques as with the previous two themes. In fact, he uses it as part of the bridge material between the exposition and the development sections. The violas come in with the second theme beginning on an F# in treble clef. This is an unusually high part of the viola range that leads them to sound more like violins – the only string instrument that in fact is not playing at this point. Shostakovich

previously introduced the main theme in the development section fugally, beginning with the French horns before adding the trumpets and winds. The second theme enters in a similar manner. The tempo quickens as the trumpets alternate between two chords on eighth notes. The second theme variations begin in the celli and basses who are immediately followed by the winds and then the entire string section. This cascading waterfall effect along with the large intervals of the second theme gives the work a frenzied, cacophonous sound. The strings then seize onto motive 3 in sequential repetition until the second theme reenters. The fugue proceeds in quick succession: the celli and basses come in first with the bass eventually reaching all the way up to treble clef, and the violins and violas follow four beats later. All this activity leads up to the aforementioned marching band section, and Shostakovich does not bring in the second theme again until after this. Here again it receives a fugal treatment, this time underneath the motto theme. The double basses join the tubas and trombones as the first voices in the fugue, followed by the French horns. This is visible in Figure I.6. At this point in the piece, the winds and strings are involved in a fugal treatment of the motto theme; thusly the relative stability of the second theme's midrange long notes provides a necessary and audible contrast to the sonic landscape.

In the recapitulation, classical form dictates that the second theme be restated in the tonic key, in this case D minor. Shostakovich, however, reprises the second theme in D major at measure 259 (Figure I.8), giving the melody line to solo flute with an echoing French horn:

Figure I.8

Figure I.8 shows a musical score for measures 259-261. The tempo is marked "Più mosso" with a quarter note equal to 84. The score features a solo flute line and a French horn line. The flute line begins with a half note G4, marked "p" and "I solo". The French horn line begins with a half note G4, marked "pp" and "morendo", followed by a half note G4 marked "pppp". The French horn line also has a "p" marking and "I solo" marking in the second measure.

Figure I.8 (cont.)

The musical score for Figure I.8 (cont.) consists of four systems of staves. The first system includes Flute (Fl.), Cor Anglais (Cor.), and Arpeggiated strings (Arpe). The second system includes the string section (Archi), which is divided into Violins (Vn.), Violas (Vla.), Cellos (Vcl.), and Double Basses (Cb.). The Flute part features large, leaping intervals with long slurs. The Cor Anglais part has a similar melodic line. The Arpeggiated strings part consists of sustained chords with long slurs. The string section (Archi) plays a rhythmic accompaniment of eighth notes.

The flute's leaping intervals seem to float above the string accompaniment so that when the clarinet enters with a slower version of the Phrygian scale, it does not sound threateningly minor in tonality. The transitional material after the second theme also returns in the oboe and clarinet lines with the bassoon playing the second theme below them.

The Moderato movement introduces several of Shostakovich's developmental techniques as well as motives that will be revisited throughout the work. The motto theme alone is one of the most recognizable in twentieth century musical literature. The subtle changes to sonata form that Shostakovich employs serve to slightly undermine the classical form the Russian officials expected of him. Further evidence of these slight alterations comes in the Scherzo.

Chapter 3

Movement II: Allegretto (Scherzo)

In the second movement of the Fifth Symphony, Shostakovich presents not the Largo typical of classical symphonic form but an Allegretto scherzo and trio. This dance movement provides an instant contrast from the intensity and minor tonality of the first movement. Beginning with an ambiguous tonality and offset rhythm, the scherzo hardly feels or sounds like dancing music. The name scherzo itself comes from the Italian meaning 'joke,' and one interpretation states that it 'indicate[s] a comic or ironically comic composition, usually fast-moving' (NGD). The movement certainly goes by quickly, at least aurally: it is the shortest movement of the four that constitute the symphony, and the repetition of different themes and motifs throughout the movement make it familiar without boring the listener. This Scherzo's classification as 'comic' is oversimplified at most, and whether Shostakovich truly intended for it to be 'ironically comic' is likely lost to history.

Shostakovich's Scherzo seems superficially simple because it is so short and repetitive. The analysis reveals that the truth is quite the opposite, as Shostakovich 'generate[s] great forward momentum by a combination of pace and rapidly alternating textures, and he maintain[s] the Classical tradition of offering a different speed or character, or both, in his trio' (Macdonald). These different characteristics are examined in the following analysis.

Form

The overarching form of the second movement is ternary with distinct changes in key and instrumentation indicating the different sections. Section A begins at measure 1; section B at measure 86; and the return of A at 157 followed by a very brief codetta at measure 242. Each section features a repetition of its main melody within the section itself but with contrasting

dynamics and instrumentation as well as transitional material. Such repetition leads to a strong sense of movement unity and tight compositional technique.

Development

Section A

The movement starts off with the lower strings announcing the vague C major/A minor tonality. The celli and basses move mostly in a stepwise manner, descending an octave before ascending in an A minor scale (Figure II.1). French horns herald the transfer of the melody to the wind section at measure 13.

Figure II.1

48 Allegretto ♩ = 138
tutti

Violini I
Violini II
Viole
Violoncelli senza sord. ff
Contrabassi senza sord. ff

49 a2
ff dim. p
a2 ff dim. p
solo ff dim. p
a2 ff dim. p

Cor. senza sord. a2 f dim. p
III senza sord. a2 f dim. p

Archi

The melody line itself is full of trills, intervallic leaps, and staccato rhythms that maintain a feeling of airy lightness while recalling the intervals and scalar passages from the opening measures. The bassoons then assume the melody line, playing a descending series of staccato eighth notes that invert the scalar pattern of measure 6. The bassoon begins a descending figure of the G mixolydian scale consisting of eighth notes with one accented beat note and an unaccented escape tone. The accompanying basses and celli reprise their part from the beginning of the movement. The bassoon finishes just in time for the violas and violins to enter in unison, taking over from the low strings at the repeating A.

Unison arpeggios lead directly into the bombastic section theme at measure 45 (Figure II.2), where the full chorus of wind instruments takes the melody.

Figure II.2

The musical score for Figure II.2 consists of five staves. The top staff is the bassoon part, which begins with a descending eighth-note scale in G mixolydian mode. The second and third staves are the basses and celli, which reprise their part from the beginning of the movement. The fourth and fifth staves are the violas and violins, which enter in unison with an arpeggio. The music is marked with a forte (f) dynamic and includes various articulations like staccato and accents.

Figure II.2 (cont.)

This musical score consists of five staves of music. The first four staves are in treble clef with a key signature of one flat (B-flat). The fifth staff is in bass clef. The music is divided into three measures. The first measure contains a series of eighth notes. The second measure contains a series of eighth notes with an annotation 'a2' above the staff. The third measure contains a series of eighth notes with an annotation 'trmm' above the staff. Below the fifth staff, there is a separate line of music with the annotation 'f marc.' below it.

This musical score consists of five staves of music. The first four staves are in treble clef with a key signature of one flat (B-flat). The fifth staff is in bass clef. The music is divided into three measures. The first measure contains a series of eighth notes with an annotation 'trmm' above the staff. The second measure contains a series of eighth notes with an annotation 'trmm' above the staff. The third measure contains a series of eighth notes with an annotation 'V' above the staff.

If all the embellishments are removed, the theme becomes essentially a C harmonic minor scale beginning on the dominant. The rhythm here is a restyling of the jagged rhythm of both the opening motto theme and more directly the C minor transition at I.11-2. The brass and strings provide a simple C minor accompaniment with the basses on one and the upper voices on two and three like a proper waltz, as though this dance beat will somehow pull down the skipping wind part. Measure 51 begins an upward frenzy as the winds slowly climb an octave, pausing to trill on the first beat. The winds' motive at measure 52 relates directly back to their motive at measures 14-5; instead of descending in pitch in the next measure, though, the melody rises and eventually reaches the highest notes on flute and piccolo. The bassoons and low strings recall the scale from mm. 6-7 and the consecutive descent, forming contrary motion between the winds and the basses as both reach for a C.

The French horns enter with transitional material in F major (Figure II.3) where their small melodic portion is punctuated with a snare roll on each downbeat.

Figure II.3

This
mel

ody vaguely relates in both tonality and motivic shape to measures 20-4 before reverting back to the scale from mm. 6-7. Strings and winds provide an ostinato E with glissandi reminiscent of the sustained E at mm 37-8.

As previously mentioned, each section repeats its main theme. Measure 64 begins the note-for-note repetition of the theme from measure 45. There are, however, some interesting contrasts between the two statements. Here the strings minus the basses carry the melody,

whereas previously it belonged to the winds. There is a dynamic difference as well: the marking here is piano rather than forte. In doing this, Shostakovich allows for more expressive freedom in the string section, allowing them to crescendo and decrescendo at the scale passage before completing a final crescendo at the rising trill motives. When the French horn part repeats, the part assignment returns to the original statement, with strings on the E ostinato with glissandi and winds playing accents. The final two measures of section A are a fortissimo unison of the orchestra for a half note E followed by a glissando up an octave for the last beat, then back down the octave for sustaining in the next measure. Although the scherzo is designed as a dance, it would be very difficult for anyone to dance to this strange and frenzied movement.

Section B

Section B, the trio, is a lighthearted, lightly scored melody that switches between several instruments. As the name implies, it features three voices with one playing melody and two accompanying. The first string trio composed of violin, cello, and harp begins the new section at m. 86 with the violin dancing sprightly in various patterns and the cello and harp providing a C major tonic base (Figure II.4). Shostakovich's use of the harp in his string trio instead of the typical viola provides a greater range for the accompanying harmony and also shows his originality in orchestral instrumentation. The overall shape of the melody's intervals and scalar passages are based loosely on the opening of section A, though they are reversed in direction. The glissandi specifically can be seen in the previous section at measure 60.

Figure II.4

57

Cor. *a2*

Arpe *sempre a2*

V-ni I *solo* *p* *gliss.*

V-c. *pizz.* *p*

85

58

Fl.

Arpe

V-ni I *solo* *gliss.*

V-le

V-c.

91

rit. a tempo I solo

Fl. *p*

Arpe

V-ni I *solo* *gliss.*

V-le *p*

V-c.

97

A second trio picks up the same melody immediately following these measures, but the main instruments switch from strings to winds. The flute plays the melody, with the bassoon taking the cello's role and pizzicato strings assuming the harp's place. The melody in the previous measures is repeated exactly but with one exception: a flute cannot play a glissando like a violin can, so the harp enters at that point and plays the glissandi below the flute line.

Beginning at measure 118, Shostakovich combines the melody line and the accompaniment to forge a new line altogether. He uses the E-G interval of the melody's glissando and combines it with the accompaniment's arpeggios and gives this new line to a unison string section. This helps effect a modulation to D#m where the violins have a spindly scalar passage that serves to emphasize the D#m triad outlined by the first note of each consecutive measure. The trio melody is introduced in the winds in D#m, but it lasts for only a few measures before the melody from 118 returns in the unison wind section. The repeat follows the exact pattern of the previous measures including the modulation from CM to D#m and the subsequent transition passage. As he has done before, Shostakovich alters only one note to modulate from one section to another. In the original transitional measures, the winds play an ostinato E while the strings play a descending CM arpeggio. In this new section, however, the descending pattern continues with a B diminished arpeggio. This move leads directly into the return of section A in A minor.

Section A

Variations in instrumentation and tonality characterize the return of Section A at m. 157. The strings and winds once again switch roles as the bassoons play the low string part exactly from measure 1 (Figure II.5) and the upper strings come in at measure 169, mirroring the winds' melody line from measure 11.

Figure II.5

65

Picc. *pp*

Fl. *pp*

Cl. *pp*

Fag. *p* solo

C-fag. *p* solo

Cor. *pp* a2

Archi *pp* *um.*

157 *pp*

66

Fag. *p*

C-fag. *p*

Archi *p* *pizz.*

163

They proceed to copy precisely the same notes and rhythms with the addition of a piccolo embellishment adding trills to the violin line. The piccolo flourishes seem like a whimsical afterthought and are very birdlike. By now the listener is familiar with the melody and knows what to expect, so the change in instrumentation provides variation in sound without total aural alienation.

The intensity increases, however, when the strings resume their previous melody at m. 188. Although they remain pizzicato, the strings still effect a crescendo to measure 191. This measure is also notable because Shostakovich alters not the notes but the manner of approach from the original at mm. 35-6; instead of approaching the note with an ascending escape tone, he writes the D minor scale out but still ends with the C# in time for the ostinato E in violin I. The arpeggios that signal the introduction of the main theme are doubled by the flute and clarinet because the strings are still pizzicato.

The theme then proceeds exactly as it originally appears up to measure 238. The transition measure to the trio section before was a simple E-E glissando. Here the glissando becomes a full E Phrygian modal scale (Figure II.6) still returning to the E but transitioning to a brief codetta. The oboe reprises the trio melody in A minor (Figure II.7) and utilizes diminished intervals – none greater than a minor third - rather than the lively major intervals heard earlier.

Figure II.6



Figure II.7



A truncated version of the trio theme gives way to four loud measures of arpeggiated approaches to the familiar ostinato E. In these last few measures, the upper strings and winds along with the xylophone enter first, with the bass voices sounding two beats later. The brass provide a steady quarter note accompaniment that repeats the notes in each arpeggio.

Shostakovich's Allegretto seems hardly effective as a dance movement. The scherzo and trio, although lively at times in character and rhythm, do not provide a steady or even well-defined beat to which a person can dance. It is this overall insecurity that perhaps leads to some classifications of the movement as 'comic.' The final measures, however, leave no doubt as to its minor character. The last note, a unison A through all the voices, helps establish the tonality for the Largo.

Chapter 4

Movement III: Largo

The Largo movement of Shostakovich's Fifth is perhaps one of the most moving musical statements of the twentieth century. It vividly captures a sense of profound sadness that supposedly affected the audience so deeply that they wept and gave a standing ovation at the end of the entire work for ten minutes. This type of emotional reaction still happens today, though the political circumstances of the premiere in Russia are certainly inapplicable in most modern places of performance.

Immediately noticeable in the score for this movement is the complete absence of the brass section. The strings are the most prominent force throughout the whole movement, working as the primary source of emotional expression. This is reflected in the instrumentation: the number of each string instrumental line is increased by one so that there are three violin, two viola, and two cello lines for this movement. The additional strings help to compensate for the lack of brass instruments but primarily serve to broaden the harmonic possibilities within the string voices. Another significant feature of this movement is string tremolo, a quick repeated bowing of the same note. This sound mimics a trembling voice and provides a shivering and slightly panicked undertone to the passage. Shostakovich adds wind instruments as well to bolster the sound during crucial musical and emotional climaxes of the Largo. He utilizes the flute and clarinet in particular to great effect in solo passages that echo the trio refrains in the scherzo. Harmonically, the Largo builds tension primarily from heavy use of chromatics and other non-harmonic tones and their closeness in pitch. Much of the harmonic movement in places is built on quartal harmonies, a twentieth-century idiom that stacks intervals of fourths

rather than full chords. The full analysis of the Largo illuminates the subtleties of Shostakovich's compositional techniques particularly when dealing with close harmonies.

Form

One interpretation of the movement's form relies upon the relationship between movements, stating that Shostakovich 'uses modified-sonata forms in the first and third movements' (Huband 16). Previous analysis in this paper has discussed the Moderato and indeed found it to be a sonata form that does not adhere to conventionally classical structure. A second interpretation contests this view and takes a more complex stance on the Largo: 'A more realistic analysis of this movement is as a two-part structure: i) an "exposition" of three themes; and ii) an ascent, starting with a tonic restatement of the first theme, to a climax, followed by a descent and coda' (Mishra 112). This point is well-stated and well-argued and Mishra's analysis makes more sense than a straightforward sonata structure. However, it does not entirely take into account the characteristic variations of development sections that are very much in force after the exposition section. It is this author's view that the truth lies in a marriage of the two ideas: Shostakovich experiments with sonata form again by writing three themes instead of the usual two. There are several climaxes throughout the work; indeed it seems that each theme has an associated peak of tension and volume. These three themes are used to great effect in the development section, which leads to the conclusion that it is in fact a sonata form.

Development

The movement opens with theme one which is a beautiful, lyrical violin line in F# minor, a key directly related to the A in the last beat of the previous movement.

Figure III.1

75 Largo ♩ = 50

Violini I

Violini II

Violini III *p espr.*

Viola I *p espr.*

Viola II

Violoncelli I

Violoncelli II *p espr.*

Contrabassi *p espr.*

Despite the slow tempo, the melody maintains a forward momentum because at least one voice moves on every beat. The construction of the melody line is interesting: each phrase overall is descending, but the starting pitches continue to ascend as though grasping at something that they never quite reach. At measure 11, for example, violin III and viola I both skip up to their respective high note in the phrase but then immediately descend back down an octave over the next three measures. They begin to ascend again as the bass lines descend, resulting in a contrary motion that opens up the midrange for new voices to enter.

The first climax of the movement comes at measure 17 when the second violins, second violas, and first celli enter with a chromatically descending tragic phrase in C minor.

Figure III.2

The musical score for Figure III.2 is a multi-staff orchestral passage. It is divided into two systems. The first system consists of six staves, and the second system consists of seven staves. The music features complex rhythmic patterns and dynamic markings such as *mf espr. dim.*, *p*, *mf dim.*, *poco espr.*, and *pp*. A box containing the number 78 is located in the upper right corner of the score.

The phrase is thick with sound and movement as the bass voices ascend and the upper voices descend. A brief reappearance of the Moderato main theme is quickly followed by the entrance of the violin I in a yearning, accented repeated note that descends in a gasp. This repeated quarter note is motive 3 from the first movement, and the following eighth note figure is motive 2. Despite the descending nature of the phrase itself, the pitches continue to rise in tandem with all the other string voices. It rises even as the first cello plays a reversal of the Moderato main theme in the treble clef until all voices end on a B minor chord. Each note in this chord is the highest that the upper strings have hit thus far, but it is a fleeting and bittersweet achievement; it is a mournful chord that does not last further punctuated by a forlorn harp plucking.

The harp arpeggio leads directly into the second theme at measure 33, a duet between the harp and flutes. The theme is clearly derivative of the main theme from the Moderato at I.6-7 (Figure I.1) in its descending shape and inclusion of Eb.

Figure III.3

The musical score for Figure III.3 is presented in two systems. The first system shows a harp arpeggio in the right hand and a flute melody in the left hand. The harp part is marked 'p' and 'I solo'. The flute part is marked 'p' and 'I solo'. The second system shows the harp arpeggio continuing in the right hand and the flute melody continuing in the left hand. The harp part is marked 'p' and 'I solo'. The flute part is marked 'p' and 'I solo'. The score includes a measure number '80' in a box.

There are naturally several differences in comparing the two themes. The overall tonality in this theme vacillates between G harmonic minor and D Phrygian, though the original is in D minor. The accompaniment varies as well: in the Largo, the harp plays only empty octaves in straight eighth notes, while the Moderato has strings alternating in dotted rhythms on fourths. The original theme in the Moderato has a definite tonality, whereas here in the Largo it is uncertain due to the large number of chromatic and non-harmonic tones. When the second flute enters in the low register at measure 37, its melody line also recalls the Moderato's main theme: this figure is an ascending inversion of the five notes with some chromatic alterations. The flutes

together are nearly three octaves apart and represent the true extremes of their range. As the melody goes on, the two lines come closer together in pitch as the accompanying harp too diminishes its intervals from the octaves to minor sixths. When the celli enter several measures later with their winding chromatic eighth-note passage, the flutes move in tight unison intervals before ending on a D minor sixth. Measure 45 continues the development of these two themes as the violas and third violins take the figure from mm. 2-3 as an ostinato, altering one note by half-steps to signal the upcoming modulation.

The Largo reaches another climax at measure 51, where bassoons and oboes join the violas and third violins and the timpani, second celli and double basses play a tremolo on G (Figure III.4). The outline of the violin melody, doubled an octave below by the second violins and first celli, recalls the previous climactic moment at measure 17 in its descending stepwise motion. The ostinato G lends the passage a G minor tonality, though the chords themselves imply C minor. In the last two beats of measure 55, the remaining winds enter and push the melody higher until it reaches another high point again at measure 58. This phrase is one step lower than the phrase at measure 51, but the abundance of instruments, including the piccolo, makes the fortissimo marking here seem much louder and higher than the previous phrase. The main melodic lines continue to descend while the bass lines ascend creating contrary motion that comes to a sudden standstill on beat one of measure 62 after a D minor chord.

Figure III.4

Fl. 82 a2

Ob. *f espr.* *tenuto*

Cl. picc. *f*

Cl. a2

Fag. *f espr.* *tenuto* *f*

Timp. *p*

I 82

V-ni II

III *espr.* *tenuto*

I *espr.* *tenuto*

V-la II *espr.* *tenuto*

I

V-c. II

II

C-b. *div.*

Figure III.4 (cont.)

Largamente

The musical score is divided into two systems. The first system includes Piccolo (Picc.), Flute (Fl.), Oboe (Ob.), Clarinet in C (Cl.), Clarinet in Bb (Cl. picc.), Bassoon (Fag.), Contrabassoon (C-fag.), and Timpani (Timp.). The second system includes Violin I (V-ni I), Violin II (V-ni II), Violin III (V-ni III), Viola I (V-le I), Viola II (V-le II), Violoncello I (V-c. I), Violoncello II (V-c. II), and Contrabass (C-b.). The score is in 4/4 time with a key signature of two sharps (F# and C#). The tempo is marked 'Largamente'. Dynamics include *ff* (fortissimo) and *mf* (mezzo-forte). Performance markings include accents, slurs, and breath marks (e.g., 'a2' for flute and bassoon). The C-b. part includes a 'unis.' marking.

The strings are heavily featured in the first part of the movement; now Shostakovich changes the aural texture by emphasizing the wind instruments. Transitional material begins in the low strings at measure 62 in C minor using the same theme from mm. 2-5 (Figure III.1). The violins enter at measure 66 with an eighth note tremolo figure that reverses an earlier pattern, ascending rather than descending before finally resting, still tremolo, on the C two octaves above middle C. The oboe enters at measure 70 with theme three (Figure III.5), a C minor passage above the single violin tremolo.

Figure III.5

The musical score for Figure III.5 consists of two systems of staves. The first system starts at measure 67 and ends at measure 71. The second system starts at measure 72 and ends at measure 79. The score is in C minor (three sharps) and 3/4 time. The upper strings (Violins I and II) play a tremolo figure. The lower strings (Violas, Cellos, and Double Basses) play a sustained bass line. The oboe enters at measure 70 with a melodic line. Dynamics include *p*, *dim.*, and *pp*. A box around the number 84 is present above the first staff.

The sparse instrumentation here recalls both the earlier flute and harp duet and the trio section of the Scherzo movement. The melody itself is vaguely reminiscent of the Moderato main theme. It concludes at measure 79, where the low strings again repeat the phrase from mm. 2-5 and the

clarinet replays the oboe's solo. The solo then passes to the flute in C# minor before transitioning to the development section.

The development section begins at measure 103 where the clarinet plays the main theme with bassoons accompanying. They replay measures 2-9 exactly as written, but tension rises when Shostakovich reintroduces the strings. Bass strings and winds play variations on the cello part from mm. 28-9, while the upper winds and strings play variations of main theme material as well as material from the second climax (Figure III.4). Violin II and III enter soon after, bringing a sense of urgency and frenzy as they climb up the scale in surface rhythms that increase from eighths to triplets to sixteenths. This upward movement is stabilized by all other wind and string voices present playing an augmented version of the figure from mm. 2-3. Like the scale from mm. 66-9, this passage comes to a halt with a Bb minor tremolo in the piano, violin II, and viola I and II.

Figure III.6

The musical score for Figure III.6 consists of nine staves, each representing a different instrument. The key signature is C# minor (three sharps: F#, C#, G#). The time signature is 4/4. The score shows measures 103 through 107. The Piano (P-no) part features a tremolo in the right hand and a steady eighth-note accompaniment in the left hand. The Violin I (V-ni I) part plays a melodic line with eighth notes. The Violin II (V-ni II) and Violin III (V-ni III) parts enter in measure 104, playing a scale-like figure with eighth notes. The Viola I (V-le I) and Viola II (V-le II) parts play a tremolo accompaniment. The Violoncello I (V-c. I) and Violoncello II (V-c. II) parts play a melodic line with eighth notes. The Contrabass (C-b.) part is mostly silent, with a few notes in measure 107. Vertical lines (V) indicate the end of the section for each instrument.

Unison passages punctuate the tremolo, adding a screeching tone to the shaking underneath. The violins approach their highest notes chromatically at measure 128 – notes that are not even sonically pleasing.

This huge peak immediately disintegrates with the double basses punctuating the downbeat and viola II, violin III, and clarinet playing a tremolo. Shostakovich gives the third melody, previously played by the woodwinds at measure 70, to the celli at 130 and pushes them to the upper extremes of their range. The theme is transposed into A minor and played in the treble clef. At measure 142 Shostakovich once again employs the motivic layering technique, placing the main theme in the violins on top of the second theme already being played. The transition to the recapitulation begins with several block chords before segueing into C minor.

The recapitulation begins at measure 156 where the strings resume their melody from measure 45 raised a half step. Instead of skipping up to the high notes as in the original, Shostakovich lets the melodic line float upwards chromatically to reach the high C before descending into the second theme. The recapitulation of the second theme appears at measure 168. Like the previous theme, however, it does not appear in exactly the same instrumentation or key: the violin takes the melody from the flute and plays it a whole step up in E Phrygian with harp accompaniment. The phrase is exactly the same as the original up to measure 171, and all lines continue to descend into a final F# minor chord at measure 180. This is another example of the ways in which Shostakovich alters standard sonata form because the themes do not return in the tonic key of the movement.

From this chord rises an arpeggiated harp line to measure 182, where the harp is joined by the celesta in a reprise of the third theme that also heralds the beginning of the codetta (Figure III.7). The harp plays harmonics in unison with the celesta over an F# tremolo in the violin.

Figure III.7

96

Cel. *sola*
p

Arpe *solo*
p

I *p*

I *p*

I *p*

I *p*

I *p*

morendo

The hollow dampened sound of the two instruments resonates like the chimes of a church, leaving a haunting echo over the final measures of the movement. When the final F# major chord sounds following a movement of such profound sadness and loss, it still has a deep effect on listeners and performers alike years past Shostakovich's time.

Chapter 5

Movement IV: Allegro Non Troppo

The final movement of Shostakovich's Symphony No. 5 in D Minor, the Allegro Non Troppo or Finale, serves as the symphonically unifying movement. Shostakovich utilizes small motives and passages from the previous three movements, combining and altering them to create new motives that fuse the main melodic and rhythmic elements of each movement. The Finale is often used as an orchestral one-off piece because it has these qualities and can stand outside the context of the symphony on its own. It is also the movement that has garnered the most debate and controversy over its meaning due to its wide range of melodic and harmonic idioms, particularly the extended passage in D major in the closing measures of the movement.

One of the most prominent features of the score for the Allegro Non Troppo is the thick instrumentation. Each movement thus far has featured a certain section extensively or alternated between sections. The fourth movement finds Shostakovich focusing on the full orchestral sound and the use of his layering technique in developing various motives. Another feature is the rapid surface rhythm. The movement is replete with eighth- and sixteenth-note motives that are occasionally doubled across instrumental sections, thereby resulting in a full score page looking like a flurry of activity. For a lesser composer, coming out of a movement like the Largo and startling the audience back to full attention could have been difficult. Shostakovich, however, creates music with such immediacy and urgent volume that it is nearly impossible not to be compelled to listen.

Form

Similar to the Scherzo, the Allegro Non Troppo takes a ternary form; its innovations connect it to both the Moderato and Largo movements. A typical ternary form as exemplified in

this symphony by the Scherzo has three distinct sections. The first A section contains one musical theme or idea that is expanded upon, perhaps preceded by introductory material. Section B stands in contrast to A in instrumentation, range, and any of various other musical characteristics. The return of A does not have to match exactly, but the melody typically stays the same. As he is wont to do, Shostakovich experiments with this ternary form and creates not one but two different musical themes in section A. Section B then becomes analogous to the development section of sonata form as it fragments the different themes, expands upon them, and stacks them in harmony with and against each other. The repeat of section A can then properly be viewed as a recapitulation followed later by a coda. Shostakovich reframes ternary form in an interesting new way that allows him to explore more of his musical ideas in his *Allegro Non Troppo*.

As previously stated, there are two identifiable themes in section A. Theme 1 begins at measure 2 and in its original statement goes to about measure 19 (Figure IV.1). Their complete absence from the *Largo* makes the brass the perfect instruments to carry the first theme, and they are quick to make their presence known. After the *Largo*'s heavy favoring of the strings, it is all the brass and wind instruments that start the movement on a loud D minor chord filled with trills and a timpani roll. The timpani continues to pound out a steady eighth note rhythm as the brass enter in unison with the theme:

Figure IV.1

The musical score for Figure IV.1 consists of two systems of staves. The first system includes:

- 4 Corni (F): Two staves, each starting with a dynamic of *f* and *ff*, and a first-octave marking *a2*.
- 3 Trombe (B): Two staves, each starting with a dynamic of *f* and *ff*, and a first-octave marking *a2*. The second staff includes a *marc.* marking.
- 3 Tromboni e Tuba: Two staves, each starting with a dynamic of *f* and *ff*, and a first-octave marking *a2*. The second staff includes a *marc.* marking.
- Timpani: One staff, starting with a dynamic of *p* and *ff*.

The second system includes:

- Cor.: One staff, starting with a dynamic of *ff* and a first-octave marking *a2*.
- Tr-be: One staff, starting with a dynamic of *ff* and a first-octave marking *a2*.
- Tr-ni e Tuba: One staff, starting with a dynamic of *ff* and a first-octave marking *a2*.
- Timp.: One staff, starting with a dynamic of *ff*.

The score concludes with the instruction *accelerando poco a poco*.

Although the strings are found here only in punctuation to the primary pitches, they are gradually integrated into the orchestral tapestry throughout the following phrases as both melody weavers and harmonic support. The second theme enters at measure 81 voiced again in the brass, this time solely trumpets amidst a flurry of activity in the upper winds and strings that quite literally sounds like a gust of wind (Figure IV.2). The tonality reflects Ab major though the copious amount of accidentals and chromatic tones in the accompanying sixteenth-note figures make it difficult to discern:

Figure IV.2

108 Più mosso $\text{♩} = 72$

Picc.

Fl.

Ob.

Cl. picc.

Cl.

Tr-be

I sola

f

unis.

div.

Archi

81

Picc.

Fl.

Ob.

Cl. picc.

Cl.

Tr-be

Archi

83

The brass section carrying this melody gradually expands to include French horns, trombones, and tuba, though these other instruments enter at transitional points rather than developmental and are quickly relegated to accompanying rather than melodic instruments.

After a dramatic ritard in the preceding measures, Section B begins at measure 124. This section contrasts with the previous section primarily through sparser instrumentation, softer dynamics, and slower surface rhythms.

Figure IV.3

124

Cl. *p*

Fag. *p*

C-fag. *p*

Cor. *I solo*
p espr.

Archi

Cl. *p*

Fag. *p*

C-fag. *p*

Cor. *p*

Archi

In the Largo, string tremolo was a prominent feature in creating an atmosphere of unrest. In the Allegro Non Troppo, Shostakovich accomplishes much the same effect using a pattern of slowly rocking eighth-notes that moves from violin to harp. The tonality in this section wanders as would be expected in any traditional development section and recalls phrases and motives from the Moderato and Largo as well as more immediately from section A. The final harp arpeggio and descending string bass line conclude their moving parts on a D minor chord at measure 247, beginning the recapitulation of section A.

Section A restarts at measure 247 with solo percussion for two measures, seemingly reminding the listener of what is at stake in this movement. The main theme returns in D minor played by clarinet and bassoon with augmented note durations and significantly quieter dynamics.

Figure IV.4

The musical score for measures 249-253 shows the following parts:

- Cl. (Clarinet):** Measures 249-250 are rests. In measure 251, it plays a half note G4 (marked *pp*). In measure 252, it plays a half note A4. In measure 253, it plays a half note B4.
- Fag. (Bassoon):** Measures 249-250 are rests. In measure 251, it plays a half note G3 (marked *pp*). In measure 252, it plays a half note A3. In measure 253, it plays a half note B3.
- C-fag. (Contrabassoon):** Measures 249-250 are rests. In measure 251, it plays a half note G2 (marked *pp*). In measure 252, it plays a half note A2. In measure 253, it plays a half note B2.
- Cor. (Cornet):** Measures 249-250 are rests. In measure 251, it plays a half note G4 (marked *pp*, with *a2* above). In measure 252, it plays a half note A4. In measure 253, it plays a half note B4.
- Tuba:** Measures 249-250 are rests. In measure 251, it plays a half note G2 (marked *pp*, with *a2* above). In measure 252, it plays a half note A2. In measure 253, it plays a half note B2.
- Timp. (Timpani):** Plays a continuous eighth-note pattern (G4, A4, B4, G4, A4, B4) throughout measures 249-253.
- T-ro (Tom-tom):** Plays a pattern of eighth notes (G4, A4, B4, G4, A4, B4) in measures 249-253.

Measure numbers 249, 250, 251, 252, and 253 are indicated at the bottom of the score.

Figure IV.4 (cont.)

The musical score for Figure IV.4 (cont.) is a page from a score, numbered 254 at the bottom left. It features ten staves for various instruments: Flute (Fl.), Oboe (Ob.), Clarinet piccolo (Cl. picc.), Clarinet (Cl.), Bassoon (Fag.), Contrabassoon (C-fag.), Cor Anglais (Cor.), Trumpet (Tuba), Timpani (Timp.), and Trombone (T-ro). The woodwind parts (Fl., Ob., Cl. picc., Cl., Fag., C-fag.) are marked with a dynamic of *pp* (pianissimo). The brass parts (Cor., Tuba) and the percussion parts (Timp., T-ro) play a rhythmic accompaniment. The score is in 2/4 time and features a dynamic marking of *pp* for the woodwinds. The woodwinds play a melodic line, while the brass and percussion provide a rhythmic accompaniment. The score is numbered 254 at the bottom left.

This quietness creates a sense of suspense in anticipation of the bombastic theme of the original that never quite returns. Instead, the oboe and clarinet dance around the other voices' embellishments of the main theme. The bombast comes much later and that segues right into the coda. The coda begins at measure 324 with a sustained dominant A in all voices but the brass, double basses, and contrabassoons. The only instruments with distinctly dynamic moving lines are the first trumpets and first trombones. All the winds and strings play some form of an ostinato figure, be it repeating high A's or tied whole notes. The rich sound of the full orchestra including all percussion and piano endures through the final measures. In taking such artistic freedoms with his selected forms, Shostakovich forged his own creative style that reflected an understanding of classical tradition without feeling bound by its conventions.

Development

The Allegro Non Troppo represents Shostakovich's final opportunity to collect the many thoughts, motives, and phrases of the symphony into one coherent statement or message to the audience and the officials. It is thus that this final movement and all the embedded fragments of previous movements are examined.

The brass play the aforementioned main theme (see Figure IV.1) alone the first time, lending the theme a militaristic styling emphasized by the three accented notes that make up the first full beats of the theme. The descending passage at measure 5 directly recalls a similar figure from the Scherzo at II.25. The first four notes of the main theme repeat one octave higher, and it is here at measure 7 where the rest of the orchestra joins the three initial voices in unison with added embellishments at mm. 6-7. The lower strings, bassoons, and oboes then establish a strict homophonic rhythm under a skipping melodic line in the flutes and clarinets. The melody lines in this passage are simply embellished or rephrased versions of the theme itself; the intervals are the same as well as the descending minor sixth passage. The dotted eighth-sixteenth figure at measure 16 is a perfect replica of Moderato I.142, a developmental technique Shostakovich utilized quite frequently to signify an upcoming modulation. In this case, it heralds an ascending, increasingly frantic line to a stasis at a wood tremolo E. Measure 19-21 sees the reintroduction of the main theme in the tubas, bassoons, and double basses, a sharp contrast between the high-end shrill of the brassy resonance of the first measures. Motive 2 (Figure I.4) from the Moderato is in fact a backwards version of that same rhythm. The melody switches back to the upper winds and strings, and the bass voices and French horns maintain ostinati below the scalar passages of the strings. The dotted rhythmic features recall the first movement, but the intervallic pattern comes from the Scherzo.

The strings continue to move in descending figures until m. 35, where Shostakovich once again utilizes a development motive from the Moderato, this time the eighth-sixteenth ascension figures of mm. 182-7. In the Moderato, this figure culminates in the rewriting of the main theme as a militaristic march; here in the Allegro Non Troppo, Shostakovich reduces the main theme to its barest outline and repeats the notes in fast-moving rhythmic figures. The strings play a rhythmically altered version of the main theme that segues into a restatement of the theme in Eb minor in the bass voices at measure 49. Suddenly at measure 57, the larger orchestra falls away and leaves only the strings at a piano dynamic level repeating their transitory motive from earlier in the movement. Shostakovich slowly adds more instruments back but maintains a rapid sixteenth-note figure in the strings that moves from the violins to the lower strings. Splices of the main theme enter in various voices until the introduction of the second theme (Figure IV.2) at measure 81.

The brass are again the first ones who play the theme, though this time it is only the trumpet accompanied by upper strings and upper winds. The leaps of the melody are vaguely reminiscent of the leaps found in the second theme of the Moderato beginning at I.50 (Figure I.2). The accompaniment dissolves into an ostinato E; thusly framed, the brass instruments ascend chromatically while the bass instruments descend, creating contrary motion that builds up harmonic tension. The tension finally explodes with a loud cymbal crash as the winds and upper strings take over the trumpet's melody line in A major (Figure IV.5). This brief respite comes to a quick end at measure 108 when the melody-carriers assume a sixteenth figure alternating Ab-G and the brass and basses begin another descending figure to measure 112. In this brief bridge section, the timpani pulses a tritone while the other brass voices have staggered entrances of the main theme in different keys. The bridge passage features a triple forte from mm. 116-8 in

Figure IV.5

110

Picc. *fff*

Fl. *fff* *a2*

Ob. *fff* *a2*

Cl. picc. *fff*

Cl. *fff* *a2*

Fag. *ff* *a2*

C-fag. *ff*

Cor. *ff* *a2*

Tr-be *ff*

Tr-ni
e
Tuba *ff*

Timp.

P-tti *ff*

Sil.

110

Archi *ff*

98

which the lower voices play two different chromatic scales – G# and D – below a B diminished chord. A lush lyrical passage flows directly into section B.

As previously mentioned, section B's characteristics are a smaller instrumental palette, generally quieter dynamics, and slower tempi. Measure 126 starts with a beautiful legato rendering of the second theme in Bb major for the French horn with limited block-chord accompaniment and a slow trill in the violins (Figure IV.3). After the French horn has stated the theme, the violins take over, playing a comparably loud figure reminiscent of both the main theme in the Moderato and the development sections of the Largo. Another interesting feature to note is the extreme instrumental range that Shostakovich employs for this section; the violins at measures 156-7 are playing at the unwriteable top of their range, and the celli are playing in treble clef from 154-60.

Figure IV.6

Musical score for measures 154-160. The score is divided into two systems. The first system includes a Clarinet (Cl.) part and an Archi (Archi) part. The Cl. part starts with a dynamic of *f* and a *cresc.* marking, followed by a *ff* dynamic and a *dim.* marking. The Archi part consists of four staves (Violins I, Violins II, Cellos, and Double Basses), all starting with a dynamic of *f* and a *cresc.* marking, followed by a *ff* dynamic and a *dim.* marking. The second system includes a Flute (Fl.) part, a Clarinet (Cl.) part, a Bassoon (Fag.) part, and an Archi part. The Fl. part starts with a dynamic of *p* and a *115* marking, followed by a *p* dynamic. The Cl. part starts with a dynamic of *p*. The Fag. part starts with a dynamic of *p* and a *espr.* marking. The Archi part consists of four staves (Violins I, Violins II, Cellos, and Double Basses), all starting with a dynamic of *p* and a *espr.* marking. The score is numbered 154 at the beginning of the first system and 161 at the beginning of the second system.

Musical score for measures 161-166. The score is divided into two systems. The first system includes a Flute (Fl.) part, a Clarinet (Cl.) part, a Bassoon (Fag.) part, and an Archi part. The Fl. part starts with a dynamic of *p* and a *115* marking, followed by a *p* dynamic. The Cl. part starts with a dynamic of *p*. The Fag. part starts with a dynamic of *p* and a *espr.* marking. The Archi part consists of four staves (Violins I, Violins II, Cellos, and Double Basses), all starting with a dynamic of *p* and a *espr.* marking. The second system includes a Flute (Fl.) part, a Clarinet (Cl.) part, a Bassoon (Fag.) part, and an Archi part. The Fl. part starts with a dynamic of *p* and a *115* marking, followed by a *p* dynamic. The Cl. part starts with a dynamic of *p*. The Fag. part starts with a dynamic of *p* and a *espr.* marking. The Archi part consists of four staves (Violins I, Violins II, Cellos, and Double Basses), all starting with a dynamic of *p* and a *espr.* marking. The score is numbered 161 at the beginning of the first system and 166 at the beginning of the second system.

The winds have a brief spotlight of transitional material before the violins begin a slow rocking figure. The lower string voices accompany in block chord whole notes that continue to descend chromatically as the rocking interval widens chromatically (Figure IV.7).

Figure IV.7

The musical score for Figure IV.7 consists of two systems of staves. The first system, labeled '117' in a box, shows measures 117 through 179. It includes parts for Archi (Violins, Violas, Cellos, Double Basses). The violin part features a rocking figure with a chromatically widening interval. The lower strings play block chords that descend chromatically. The second system, labeled '187', shows measures 180 through 187. It includes parts for Cl. (Clarinets), Fag. (Bassoons), C-fag. (Contrabassoons), Cor. (Coronets), and Archi. The woodwinds and strings continue with their respective parts, with dynamic markings such as *pp* and *pp unis.* visible.

The following portion of the movement contains mellow chords over the rocking C minor in the violins. After a descending F minor scale, the rocking is transferred to the lower strings.

Shostakovich brings back mm. 11-5 in a rhythmically augmented version starting with the melody in the violins. Although it is in the same key, the notes appear one octave below the original and dynamically much softer. The violins and lower strings switch roles; the violins again take the rocking figure, but the celli and basses assume the melody from mm.16-9 in an augmented form. At measure 239, the harp takes the rocking figure from the violins as the strings, flute, and French horn sustain a long Bb major chord to conclude section B.

Section A resumes at measure 247 with the foreboding sound of a snare roll and timpani pulses. The theme itself resumes in the clarinet and bassoon lines in measure 250 but the pianissimo dynamic makes it nearly inaudible (Figure IV.4). There are no melodic embellishments such as the expected grace notes in this reprisal. Besides the French horn, there are only wind instruments so far in this variation on the main theme and Shostakovich utilizes as many of them as he can through treating the main theme fugally. The bassoon and French horn come in together with the theme in D minor and then again in C minor. By the time the trumpet reenters with the main theme in Ab minor, the entire string choir has already entered. The piano enters as well with the purpose of doubling the string parts. The full orchestra sounds with a cymbal crash at measure 291 in Bb minor. Shostakovich uses the unison sound of the orchestra to dramatic effect in this passage in much the same way that he did at the recapitulation in the Moderato. In the following measures these unison voices alternate between ostinato notes and slowly ascending melodic figures over similarly ascending passages in the brass. The tension builds and builds with chromatic chords and harmonic dissonance until the cymbal crash at the start of the coda.

The coda begins at measure 324 with a loud sustained D major chord, and the winds and strings float up to an ostinato A that they maintain until the end of the movement. The brass

reprise the main theme in D major, moving up stepwise to form dissonances before settling on a D major chord with the rest of the orchestra.

Figure IV.8

132

Picc.

Fl.

Ob.

Cl. picc.

Cl.

Fag.

C-fag.

Cor.

Tr-be

Tr-ni
e
Tuba

Timp.

Tr-lo

P-tti

P-no

132

Archi

Each is punctuated with a hit on the percussion: timpani, cymbal, and triangle all participate.

The final three measures of the symphony are particularly interesting. After the final D major chord, the timpani and bass drum beat three times alone. The sound of these loud bass drums is threatening, not joyful as the past measures have been. The final chord is not a chord at all, but a unison D in all voices. The fact that there is no third in this 'chord' means that there is no indication of a major or minor tonality, leaving the associated feeling ambiguous. Although the past 33 measures have sustained a D major, Shostakovich changes the final chord to a unison note after thunderous, deep drumbeats. The ending of the work thus loses the 'happy' feeling channeled through the D major chord and falls into a state of uncertainty.

Conclusion

Dmitri Shostakovich's Symphony No. 5 in D minor is a masterpiece full of interesting harmonies, lyrical melodies, and other musical expressions of genius. This symphony reestablished him in the eyes of Soviet officials and affected the hearts of the Russian people. The incredible range of feelings and innovations expressed in this work merits considerable praise that only increases in retrospect. Each movement has its own highlights, character, and moments of emotional catharses, but there are some connections between the movements that bind them together as a truly complete work. These will be explored in the next chapter.

Chapter 6

Connections Between Movements

Although each movement of the symphony displays its own unique characteristics, Shostakovich utilizes several different recurring motifs and developmental techniques that serve to unify the Fifth Symphony as a cohesive whole. Shostakovich does not waste a single note or motive, revisiting and expanding upon past musical ideas within the same movement as well as within subsequent movements. Some of these motives are more important than others for the melodic and harmonic development of the work. Their presence in each movement calls attention to Shostakovich's skill in manipulating and altering various musical ideas in subtle ways so that the casual listener can recognize but not necessarily place the specific melodic motive. Each recurring motive has a different function within the movement and in the entire work. A close examination of some examples of each identified connection will help to illuminate those uses as well as any other notable features of the music.

The Minor Sixth

The first of these motifs is derived from the famous motto theme at the opening of the first movement. The jagged melodic motive does repeat several times throughout, but more important to the work as a whole is the interval presented there: the minor sixth. The threatening minor sound of the interval lends itself to use as a herald of an upcoming transition or change in dynamic, key, or character of the music.

The minor sixth interval is present in every movement though its prominence in the Moderato is paramount. Its use as the motto theme and its incarnations as such throughout the development section has already been discussed (Figure I.3). The interval, however, appears in other ways that have yet to be explored. One example of this is in the development section. The

violins have a phrase of eighth notes that starts on a D in one measure and over the course of three full measures rises a minor sixth to a Bb. The change here is subtle as the ascent is marked by repeated notes and their octaves. Once the violins hit the Bb, the low strings, bassoon, and French horns begin a fugue-like repetition of the first half of the motto theme, ascending in pitch as well. This leads directly into the change of texture that Shostakovich orchestrates to indicate the first appearance of the second theme in the development section. The final musical phrase in the first movement is the entrance of the celesta (Figure V.1), introduced for the first time in the last three measures of the movement.

Figure V.1

The musical score for Figure V.1 consists of ten staves. From top to bottom, they are: Cor. (two staves), Tr-be (Trumpet B-flat), Timp. (Timpani), Cel. (Celesta), Arpe (Arpeggiated Bass), V-ni I (Violin I), V-ni II (Violin II), V-le (Viola), V-c. (Violoncello), and C-b. (Contrabass). The score is in 3/4 time. The key signature has one flat (B-flat). The tempo is marked 'Allegretto'. The score begins at measure 313. The celesta part enters in the third measure with a piano (*p*) dynamic and a melodic line of eighth notes. The violins play a phrase of eighth notes starting on D and rising to Bb. The low strings, bassoon, and French horns begin a fugue-like repetition of the first half of the motto theme. The score ends with a *morendo* marking in the final measure.

The celesta plays a chromatic scale that begins on F# and ends on the tonic D; the total interval of the resulting scale is a minor sixth. Although F# is a pitch that would normally indicate D major in this context, the interval's minor sixth totality as well as the F naturals in the string section demonstrate otherwise.

The minor sixth plays a similar role in the Scherzo. In both section A's of the Scherzo, the minor sixth appears as a descending scale just before the arpeggios that signal the introduction of the section theme. The strings repeat the scale from the beginning of the movement up to the Bb and then descend again from A-D. The descent is the outline of a minor sixth: the first note of each beat is the D minor pentachord tone and the second is an escape tone. The measure starts on a Bb and the first escape tone is a Bb, so the total phrase descends a minor sixth. Two measures later, Shostakovich writes two more descending passages whose ranges are a minor sixth (Figure V.2). This time the first passage spans F-A and the second is Bb-D. The D leads right into the C that begins the arpeggios to the section theme:

Figure V.2



The arpeggios themselves also contain the minor sixth between the first and third tones of each figure as marked above. All of these straight rhythms lead directly into the section theme, which is characterized by its off-kilter rhythm, contrasting dynamics, and increase in instrumentation. As previously mentioned, section A repeats with the reprisal following the exact same pattern.

Here once again the minor sixth introduces a new musical idea that contrasts strongly with the previous material. The natural tension of the interval finds its release in this kind of progression.

The chromatic nature of the Largo provides many opportunities for phrases and chords to include minor sixths, and the mournful sound of the interval itself suits the emotions in this movement. This is evidenced in the first three bars of the movement which outline a lyrical melody that spans from F#-D (refer to Figure III.1). The rise to and following descent from the D in this melody emphasizes the underlying inability to reach or grab something. Given the stepwise chromatic nature of the music in this movement, the minor sixths may sometimes appear written as augmented fifths although aurally they are the same interval. The minor sixth reoccurs at the previously mentioned 'gasping' measure with the three repeated notes.

Figure V.3

Figure V.3 is a musical score for a multi-staff arrangement. The score begins at measure 78. The top staff features a melodic line with a dynamic marking of *p espr.* and a hairpin crescendo leading to *pp*. The lower staves provide harmonic support with various chords and textures, including a *mf espr.* section and another *pp* section. The music is characterized by stepwise chromatic movement and the use of minor sixths.

On the first beat of that measure, the strings play a whole-note chord that includes not one, not two, but three minor sixths with the same number of notes. The intervals are D-A# (Bb in chromatic respelling), A#-F#, and F#-D. This naturally creates a great deal of tension with each additional beat that the chord is held before finally resolving in the next measure. Just a few measures later, the violas play an ascending line that spans D-A# before the strings finally resolve into a B minor chord at the introduction of the second theme.

In the *Allegro Non Troppo*, the minor sixth transforms into a threatening interval in the very opening of the movement. The opening three phrases of the first theme each contain a total interval of a minor sixth (see Figure IV.1). Shostakovich accomplishes this in two ways: the intervallic distance between the first and last notes of the first two phrases is a minor sixth, while the distance between the highest and lowest notes of the third phrase is the minor sixth. The recurrence of the first theme throughout the movement in its original statement as well as its transposition into a major key in the final measures reinforces the importance of the minor sixth to this movement and to the symphony as a whole.

Modal Scales and Phrases

Modal scales and idioms rose to prominence in the twentieth century as more composers researched and returned to using melodies and harmonies from traditional folk songs. Shostakovich's parents exposed him at a young age to different idioms from their native Soviet states, so the harmonic ideas were engrained in his musical memory. These include modal scales and other uncommon harmonies. Shostakovich incorporates various modes throughout the Fifth Symphony including the dorian, locrian, and mixolydian modes. The most important one, however, is the Phrygian modal scale.

The Phrygian mode forms the basis of the main theme in the Moderato (figure I.1) as evidenced by the lowered second tone of Eb. Shostakovich has already established the D minor key in the movement, so an extra lowered tone may seem excessive or at least unnecessary. The effect, however, is a natural increase in harmonic tension and the creation of a suspenseful and uncertain atmosphere. The minor key alone does well in communicating grief and sadness, but his use of the Phrygian indicates that Shostakovich wishes to convey something more complex than mere sadness. This point is further emphasized as the Phrygian mode continues to appear throughout the Moderato. Phrygian scalar passages often provide transitions between different sections of the work or segues from one key to another. Shostakovich introduces the Phrygian scale in its entirety in the oboe (Figure V.4), functioning as a transition from a vaguely D minor passage to a strong D minor layering of the motto theme over the main theme.

Figure V.4

The musical score for Figure V.4 consists of four staves: Flute (Fl.), Oboe (Ob.), Clarinet (Cl.), and Bassoon (Fag.). The Flute part begins with a dynamic marking of *ff* followed by *p*. A box containing the number '5' is positioned above the second measure of the Flute staff. The Oboe part enters in the fourth measure with a dynamic marking of *p* and plays a scalar passage. The Clarinet and Bassoon parts have a dynamic marking of *p* and a '1 solo' marking in the fourth measure. The score concludes with the marking *esdr.* (espressivo).

The A Phrygian scale here introduces the Bb tone back into the harmonic palette while settling on the dominant A. Modal scales appear throughout the development section to maintain forward momentum as well as to continually unsettle the tonic stability. For instance at measures 148-50:

Figure V.5

The musical score for Figure V.5 consists of seven staves: Picc., Fl., Ob., Cl. picc., Cl., Fag., and C-fag. The score is in 4/4 time. Measure 21 is highlighted with a box. The Picc. part plays a Phrygian scale (Bb, C, D, Eb, F, G, Ab, Bb). The Fl., Ob., Cl. picc., and Cl. parts play a Dorian scale (C, D, Eb, F, G, Ab, Bb, C). The Fag. part plays a Dorian scale (C, D, Eb, F, G, Ab, Bb, C). The C-fag. part is silent. A dynamic marking 'p' is present in measure 23.

The violins play a Dorian scale followed shortly by the upper winds playing the same scale, and then the piccolo plays a Phrygian. This is the first instance in which two modes are juxtaposed against each other. Although the scales are certainly not the same, the consistency of the diatonic notes in each scale provides a unity in sound.

Coming out of the Moderato, modes play a comparatively small role in the Scherzo movement of the symphony. The opening ascending scale of section A in the low strings is the A Aeolian modal scale, although it ends on the Bb one tone above the complete scale. This scale is repeated in the low winds at the return of section A later in the movement. The only other approximation to a modal passage in this movement is at measure 239 where it functions as a transition from the end of section A to the codetta (Figure II.6). The E Phrygian scale here serves as a transition between the previous C minor section and the following A minor codetta. The E tonality completes the A minor triad in the keys themselves and creates a natural segue between the two keys. The chromatic nature of the Largo does not evince particular modal scale

patterns. Although a tonal center remains present if not audible, the abundance of accidentals and nonharmonic tones negates the presence of modes.

Modes reappear in the Allegro Non Troppo finale movement with the Phrygian once again in prominence. In previous movements the Phrygian scale has served as transitional material from one key or section to another, and this is true for the Allegro Non Troppo as well. A perfect example of this is in section A as the section theme continues to develop:

Figure V.6



The dotted rhythmic figure leading into the Phrygian scale (Figure V.6) is a throwback to the development section of the Moderato. Here the A Phrygian scale at measure 30 leads directly into a B \flat Phrygian in the next measure and continues into more transitional material that occurs between the two section themes. The B \flat Phrygian scale introduces the flatted notes that are pivotal in the following transition passage while still keeping with the Phrygian tonality introduced in the previous measure with the A Phrygian scale. The Phrygian scale also makes an appearance at the conclusion of section B underneath the rocking figure in the upper strings. The low strings play an F Phrygian as the upper strings reach the tone just before the resolution; the

deep-voiced scale adds to the natural tension at this moment. When the low strings finally reach the octave F, the strings resolve to a D and the harp enters with its arpeggiated figure in Bb major. The Phrygian scale and all other modals allow for more harmonic possibilities without straying from the original tonality. Shostakovich explores the various sounds and chords available to him within these melodic parameters that he heard as a child.

Single Note Alterations

The final common thread between all four movements of Shostakovich's Fifth Symphony is Shostakovich's unique and subtle method of transposition. At several points throughout the work, he modulates or otherwise alters a repeated pattern by simply changing one note usually by a half-step. This slight alteration is noticeable only to the most astute listener; otherwise it sounds so similar to the original that it could be a standard repeat. This type of variation is so crafty that it deviates from form without being obtrusive or broadcasting its deviation. Shostakovich usually alters the pitch in repeated passages and motives, so the purpose in changing the note seems to be for harmonic variety as well as a statement of musical personality.

Shostakovich utilizes such a small change in transitioning to the second theme of the Moderato. The end of the main theme exposition culminates in a return to the motto theme from the opening of the symphony. Instead of repeating it exactly, Shostakovich changes one small interval (Figure V.7); instead of rising from a C-G, he goes C-Ab.

Figure V.7



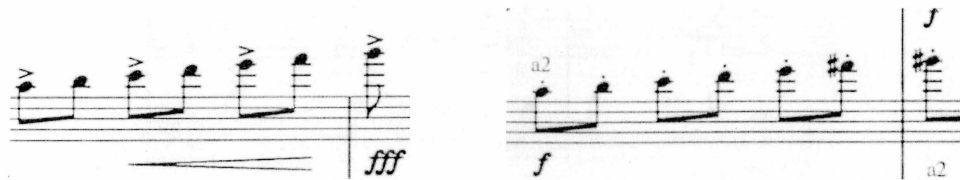
The intervals remain the same from that point on and only the notes are different. The completed passage flows directly into the second theme in Eb minor. The relationship between the tonic key, D minor, and the key of the second theme, Eb minor, is a half-step up – the same interval by which Shostakovich alters the single note that effects the transition to the second theme. He uses the same technique at the end of the second theme exposition to segue into the development section. Instead of the motto theme, it is the second theme that repeats in B minor.

Shostakovich alters some of the intervallic distances between the leaps of the melody, allowing the pulsing bass line to continue upward chromatically without having to use the leaps needed in the second theme. The increasing number of accidentals needed to alter the leaps foreshadows the tonal instability of the development section.

The Allegretto dance movement is perhaps the best exemplar of this modulation technique because the ternary structure lends itself to repeated themes and phrases. Indeed, Shostakovich repeats the theme of section A in its entirety. The single-note alteration comes in a measure at the end of the repeat as a bridge to the new key in section B. This measure should be the exact image of the original measure that served as a transition back to the original theme. Instead, all the winds, brass, and strings play the figure in unison and raise the final note from the original Eb to an E natural. This E is the third in the C triad that indicates if the piece is in major or minor. Section A was in C minor, so this alteration to an E natural prepares the modulation to C major in section B. The return of section A begins by repeating the original melody note for note.

One half-beat before the main theme is due to enter at measure 201, Shostakovich makes a simple alteration that modulates the theme from C minor to C# minor: he raises the pitch from F natural to F#.

Figure V.8



This new key is the only difference between the original theme and the new one. Each scale passage thus goes one step higher than originally written – a small detail that few listeners would notice. At the point of repeat, one small alteration modulates the theme back to the original key. This measure features the same shift that occurred in 201; but in this instance the new changes to match the old so that what should be an F \square according to the C \square minor key becomes an F natural. The subtle changes in the Scherzo are perfect examples of Shostakovich's slight artistic deviations. Such examples are again absent from the Largo but appear briefly in the Allegro Non Troppo.

In the Finale movement, the alteration seems to function mostly as the starting point for harmonic exploration and deviation. Again, the ternary structure of the movement causes certain sections to repeat and thus open them up for reworking. Shostakovich alters the main theme first, very slightly: in measure 52 (Figure V.9), which mirrors an earlier measure from the beginning, he alters the interval of one note chromatically to effect a modulation to E minor in time for the embellished eighth-note triad figure:

Figure V.9

The musical score for Figure V.9 is presented in two systems. The top system contains two treble clef staves, and the bottom system contains two bass clef staves. The music is in 2/4 time. The first system shows a melodic line starting on a treble clef staff with a sharp sign (F#) above the first measure, followed by a series of eighth and quarter notes. The second system shows the same melodic line in a bass clef staff, with a flat sign (Bb) above the first measure. The key signature changes from one sharp (F#) to one flat (Bb) between the two systems. The notation includes various note values, rests, and dynamic markings such as 'v' and 'f'.

This is also a transitional figure of sorts: following the brief modulation to E minor is a change in texture and dynamic as the strings take over in a quiet bridge passage. A second alteration comes at the opening of section A's repeat. All the notes are exactly the same as they were in the original theme – until the phrase reaches its high point. Instead of an Ab, Shostakovich here writes an A natural. This small change allows him the freedom to explore the theme in major tonalities without completely abandoning it altogether. Shostakovich's subtle technique of modulation exemplifies his compositional ingenuity.

These three different aspects of Shostakovich's Fifth Symphony are by no means an exhaustive list of all the similarities between movements. They are, however, the most important to this analysis and the overarching cohesion of the entire work. They are symbols of Shostakovich's compositional genius in his ability to manipulate sounds and textures into something new even within the same movement.

Chapter 7

The Politics Behind the Fifth

Up to this point in the analysis, the subjects of politics and speculation on the potential meaning of Shostakovich's Fifth Symphony have remained absent. Given the inherently political nature of public life in the Soviet Union, however, it is impossible to neglect it altogether.

After the premiere of his First Symphony, Dmitri Shostakovich received accolades for the Sovietness of his music. He was upheld by the regime as the epitome of what a Soviet citizen could be and accomplish. His opera *Lady Macbeth of the Mtsensk District*, which debuted in 1932, was hailed as something that could only be accomplished by a Soviet composer of the time. The subject matter of *Lady Macbeth* was graphically sexual, even depicting the act of intercourse on stage, but highlighted the life of the average Russian citizens. Everything was moving in Shostakovich's favor; the audiences liked his works and he was content with his compositions.

The tide changed rather suddenly in 1936 when Joseph Stalin, the Great Leader himself, attended a performance of the opera. According to some accounts, he walked out of the theater disgusted at what he saw. The following day, an editorial entitled 'Muddle Instead of Music' appeared in *Pravda*, the official Communist Party newspaper, condemning Shostakovich's opera as a formalist, anti-people composition that was somehow determined to instill leftist thinking in the audience. Stalin's attack came several years after *Lady Macbeth's* premiere, but its impact was immediate and devastating. Stalin had singled out Shostakovich and at the time this type of action could mean anything from a simple slap on the wrist to official censure to deportation to a

gulag or even death. This excerpt from a translated version of the article highlights the threatening language and the ambiguous criticism that left Shostakovich in fear for his life:

To follow this “music” is most difficult; to remember it, impossible...Here is music turned deliberately inside out in order that nothing will be reminiscent of classical opera, or have anything in common with symphonic music or with simple and popular musical language accessible to all. This music is built on the basis of rejecting opera – the same basis on which “Leftist” Art rejects in the theatre simplicity, realism, clarity of image, and the unaffected spoken word...The composer apparently never considered the problem of what the Soviet audience looks for and expects in music...He ignored the demand of Soviet culture that all coarseness and savagery be abolished from every corner of Soviet life...The power of good music to infect the masses has been sacrificed to a petty-bourgeois, “formalist” attempt to create originality through cheap clowning. It is a game of clever ingenuity that may end very badly.

The final line in this excerpt is the most threatening – how will it “end very badly?” For an artist living in the time of the Great Terror, this was the ultimate statement of personal jeopardy. It was this phrase that kept Shostakovich at bay for the next year, composing film music for official Soviet releases and tucking new compositions away in the drawer. He even pulled his Fourth Symphony from rehearsals under both official and personal pressure. Perhaps the most difficult aspect of this criticism is its ambiguity because formalism was not a recognized term in the artistic community; its very definition seemed to morph even within one decade. As Mulcahy writes, ‘in the Stalinist cultural scheme, the charge of formalism was applied to any form of experimental, “difficult,” or nontraditional artistic expression’ (76). These criteria are almost entirely subjective, leaving the composer as well as the majority of the artistic community hyperaware of any subtexts or hidden meanings in the work they dared to release.

This veiled death threat came at a time in Russia known as the Great Terror. During this brief but petrifying era in Russian history, Stalin had hundreds of thousands of dissenters executed or shipped to gulags, never to be seen again by friends or family. Any figure associated with the arts – writers, musicians, theater owners, composers – were at risk if they dared to speak

a word against Stalin, even in private quarters: Stalin had spies and other covert agents working for him in many different capacities. The purpose of this was to eradicate any trace of what Stalin deemed to be inappropriate for the consumption of the Soviet public or contradictory to the values he arbitrarily chose to enforce. As Wilson writes, 'Stalin imposed the Terror so as to transform all institutions...into obedient tools' (145). These political purges sent waves of fear and paranoia throughout the entire artistic community. Everyone was at risk; thusly individuals in Stalin's targeted groups became increasingly aware of the many interpretations of their own output, censoring their own works before mass distribution or foregoing it all together. Irina Nikolskaya illuminates Shostakovich's unique opportunity born from his firsthand experience of the Terror:

At Stalin's behest, masses of blameless people were executed, including some of Shostakovich's closest friends. He suffered deeply. In those years, no other artist...could even think of protesting against the Stalinist terror through his art. Only instrumental music, with its own distinctive methods of expressive generalization, had the power to communicate the terrible truth of that time. (Brown 160)

When he was composing his Fifth Symphony, Shostakovich was writing for two very different audiences who expected two very different things from this piece of music. The Soviet officials expected Shostakovich to essentially redeem himself, to prove to them that he had listened to the Party's criticism and was working to reform his musical style. Additionally, however, Shostakovich was intensely devoted to his country and its people and really composed for them. He once said, 'I find it incredible that an artist should want to shut himself away from the people, who, in the end, form his audience. I think an artist should serve the greatest possible number of people. I always try to make myself as widely understood as possible' (quoted in Slonimsky 415). The criticism leveled at Shostakovich in 'Muddle Instead of Music' contended that he did just the opposite with his opera *Lady Macbeth*. With his Fifth Symphony,

Shostakovich sought to acknowledge and reflect upon the pain and emotional distress of the Soviet people, his audience. He had a personal duty to the Russian people and an official duty to pander to Stalin and his committees. In the words of Laurel Fay,

Shostakovich was forced to find a way to reach an audience with seemingly contradictory needs: those expecting music to encourage patriotic and ideological enthusiasm and those suffering under the weight of oppression who sought, in the experience of music, some emotional resonance with their own despair, hope, fear, and resignation. (*Shostakovich and His World* 365)

Conclusion: How Do We Hear the Symphony Now?

Many critics have made the mistake of interpreting Shostakovich's Fifth Symphony as a wholly political statement, foregoing musical analysis in favor of championing a specific pro- or anti-Stalin viewpoint. The publication of *Testimony*, a book whose authenticity is seriously questioned, has nonetheless sparked an interest in Shostakovich's works throughout the Western world and opened many different avenues for interpretation. Unfortunately, many people have read *Testimony* and then interpreted the music in light of reading. I feel that this is backwards: the music should be analyzed first, because that is the statement that came first. Thusly I have held off on commenting on the political implications of Shostakovich's Fifth until this final chapter of my analysis.

The most controversial aspect of the symphony lies in the final measures of the Finale. The sustained D major chord over the last 33 measures is a triumphant, rejoicing musical statement, a man's victory over his inner/outer demons. Shostakovich supposedly said this about his symphony: 'The idea behind my symphony is the making of a man. I saw him, with all his experience, at the centre of the work, which is lyrical from beginning to end. The Finale brings an optimistic solution to the tragic parts of the first movement.' This declaration was a spoken confirmation of everything the Soviet regime wanted from Shostakovich in this symphony.

These last measures celebrate the life of a Soviet citizen who has come into his own. The D major key, a tonal shift from the D minor opening of both the symphony and the Allegro Non Troppo movement, thereby transforms the sound of a troubled individual to a joyful, resolved, and complete individual.

This ending can also be quite sinister, however. On recordings such as Mstislav Rostropovich conducting the National Symphony Orchestra of Washington DC, the tempo for the last measures is slowed down dramatically. The repeated A in the strings and winds thusly becomes a very heavy sound that almost wears down the rest of the work. The second remarkable effect about this tempo shift is the pronounced pounding of the timpani underneath the brass refrain, once again a foreboding and threatening sound that continues until the end. I would also add as further support for this interpretation the final chord, or more accurately the lack thereof. After such a celebratory D major refrain, the expectation is for the final chord to also be a final D major. Instead, Shostakovich writes a unison D for all voices that sounds after three unaccompanied pounds from the timpani. The lack of a third in the final chord to indicate a major or minor ending is rather precariously ambiguous and is another example of Shostakovich's subtle manipulation of official expectations.

The analysis in the past five chapters has demonstrated how Shostakovich tweaks the traditional classical form of the symphony in each movement. The Moderato is a modified sonata form in disguise with its unconventional construction of the recapitulation. The militaristic rendering of the main theme in the development implies something far more sinister about the Soviet state that only the audience could understand. The Scherzo mocks the idiom of the Viennese waltz, replacing the straight rhythms with jaunty, unstable figures and abrupt changes in tempo. The Largo also has a modified sonata structure; Shostakovich utilizes three

different themes rather than the traditional two and the recapitulation begins again *in medias res*. In the Allegro Non Troppo, Shostakovich modifies the traditional ternary form, introducing two separate themes in each section. The overwhelming presence of the brass against indicates a strong military sound that seems to hover over the whole work. The D major coda cements this alternative reading of the symphony. Superficially, Shostakovich gave the Soviet officials what they wanted: a four movement symphony in the 'Russian tradition' that followed the model of Beethoven and Rimsky-Korsakov. He acquiesced, he bowed to their criticisms. The truth, however, is in the details. Beneath Shostakovich's Fifth Symphony lies the musical genius of a man pushing his boundaries in his nonadherence to form and identifying compassionately with the pain of the Soviet people.

The Fifth Symphony is one of the most controversial works of the twentieth century. The fact that it is still subjected to ideological interpretations and arguments solidifies its place in the consciousness of both Russia and the world. The intangible emotion and musical genius manifest in this monumental work transcend the political context of its composition and catapult it into the realm of the greatest symphonies. The supreme achievement of this symphony to me is the emotional expression that he manages to incorporate despite the perilous circumstances of his life at the time of composition. It is Mstislav Rostropovich who speaks the best summation of the triumph of Shostakovich's Fifth Symphony:

I always thought Shostakovich knew everything there was to know about mankind...he draws in the whole – from disappointment and tragic conflict to interludes of happiness and hope. Yet, despite confronting the most dreadful aspects of human existence, descending into the dark abyss of sorrows and disaster, Shostakovich's art still remains utterly human. (Brown 148-9)

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