Part I

The Seven Days of Creation For Narrator and String Orchestra

Part II

Shostakovich's Symphony No. 5, Movement 4: A Parametric Analysis

By

Nevin Brian Rosen

Submitted in Partial Fulfillment of the Requirements

For the Degree of

Masters of Music in Theory and Composition

in the

Masters of Music

Program

YOUNGSTOWN STATE UNIVERSITY

Summer, 2009
Part I
The Seven Days of Creation for Narrator and String Orchestra

Part II
Shastakovich's Symphony No. 5, Movement 4: A Parametric Analysis

Nevin Brian Rosen

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ABSTRACT

Part One, "The Seven Days of Creation For Narrator and String Orchestra" depicts the seven days of creation as portrayed in the Bible. The narrator will first read the depiction of that particular day, followed by the referant musical movement, which will enhance the bible passage. The seven-movement piece uses a wide variety of compositional techniques including modes, whole tone scales and other artificial scales.

Part Two examines Movement 4 of Shostakovich's Symphony No. 5. The hope in analyzing this movement is to discover if Shostakovich could be a progressive 20th. century composer while being closely scrutinized by the Communist Party. A brief discussion of some historic background is followed by a parametric analysis consisting of a study of form, harmonic and tonal outline, climaxes, rhythmic structure, timbre, and textural structure. The thesis shows that Shostakovich was able to be creative despite the very adverse conditions of Communist Party control. Through the examination of this movement, we find that Shostakovich can be a source of inspiration to musicians and non-musicians alike who are faced with adversity.
Acknowledgements

I think it goes without saying that when one takes on a project as big as a thesis, there has to be great support from the people who surround you. Over the past two years, this project has been slowly reaching its conclusion and it is, I'm very proud to say, completed. I first must thank my wife, Stevette. She has been my source of encouragement and inspiration throughout my studies at YSU. When I told her, at age 40, that I wanted to pursue my Masters in music composition, she could have very easily told me to act my age and forget about it. She did not. Instead, she encouraged me to strive to do my best and achieve any and all goals I set forth in my mind.

I can't say enough about my advisor, and now friend Dr. Robert Rollin. He took me from being musician with a desire to be a composer to being a composer. Not an easy task. He was always tough yet kind; demanding yet caring. His passion for his craft is addicting. He makes you want to work hard for him. I'm proud to say I was his student. Dr. Rollin and I have come a long way together and I will never forget our time together as teacher and student. I'm sure we will continue to keep in touch and get together when possible.

My education at YSU was top notch. I certainly want to take this time to recognize all the professors who instructed me during my time at YSU. I would especially like to thank those professors who took the time from their busy schedules to sit on my thesis defense panel. Dr. Ausmann, Dr. Cha, Dr. Gage, Professor Slocum, and of course, Dr. Rollin. Your insightful comments and suggestions served to help refine my body of work in this thesis to a level of scholarship that I am certainly proud of.
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The Seven Days of Creation

for

Narrator and String Orchestra

by: Nevin Brian Rosen
"The Seven Days of Creation" is a musical depiction of the seven days of creation as told in the "New World Translation of the Holy Scriptures" (Watch Tower Bible and Tract Society, Brooklyn, New York, 1984). Its purpose is to give the listener a musical sense of the creation of the heavens and earth as well as all life contained within these boundaries.

In order for the setting to be effective, the following relevant scriptural passages should be read prior to each musical movement's performance.
In the beginning God created the heavens and the earth. Now the earth proved to be formless and waste and there was darkness upon the surface of the water deep; and God’s active force was moving to and fro over the surface of waters. And God proceeded to say: "Let the light come to be." Then there came to be light. After that God saw that the light was good, and God brought about a division between the light and the darkness. And God began calling the light day, but the darkness he called night. And there came to be evening and there came to be morning, a first day.
Day 2

And God went on to say: "Let an expanse come to be in between the waters and the waters." Then God proceeded to make the expanse and to make a division between the waters that should be beneath the expanse and the waters that should be above the expanse. And so it came to be so. And God began to call the expanse Heaven. And there came to be an evening and there came to be a morning, a second day.
Creation: Day Two

Nevin Brian Rosen

Moderato \( \frac{\text{4}}{\text{4}} \) 60

Violin I

Violin II

Viola

Cello

Double Bass
And God went on to say: "Let the waters under the heavens be brought together into one place and let dry land appear." And it came to be so. And God began calling the dry land Earth, but the bringing together of the waters he called, "Seas." Further God saw that it was good. And God went on to say, "Let the earth cause grass to shoot forth, vegetation bearing seed, fruit trees yielding fruit according to their kinds, the seed of which is in it, upon the earth." And it came to be so. Then God saw that it was good. And there came to be an evening and there came to be a morning, a third day.
Creation: Day Three

Nevin Brian Rosen

Moderato \( \frac{\dot{\cdot}}{88} \)

Violin I

Violin II

Viola

Cello

Double Bass

\( mp \)
And God went on to say: "Let luminaries come to be in the expanse of the heavens to make a division between the day and night, they must serve as signs for season and for days and years. And they must serve the luminaries in the expanse of the heavens to shine upon the earth." And it came to be so. And God proceeded to make the two great luminaries, the greater luminary for dominating the day and the lesser luminary for dominating the night and as also the stars. Thus God put them in the expanse of the heavens to shine upon the earth and to dominate by day and by night and make a division between the light and the darkness. Then God saw that it was good. And there came to be evening and there came to be morning a fourth day.
Creation: Day Four

Nevin Brian Rosen

Allegro \( \frac{1}{4} \) 100

Violin I

Violin II

Viola

Cello

Double Bass
Day 5

And God went on to say: "Let the waters swarm forth a swarm of living souls and let flying creatures fly over the earth upon the face of the expanse and the heavens." And God proceeded to create the great sea monsters and every living soul that moves about which the waters swarmed forth according to their kinds, every winged flying creature according to its kind. And God got to see that it was good. With that God blessed them, saying be fruitful and become many and fill the waters and the sea basins, and let the flying creatures become many in the earth. And then there came to be evening and there came to be morning, a fifth day.
Creation: Day Five

Nevin Brian Rosen

Adagio

Violin I

Violin II

Viola

Cello

Double Bass
And God went on to say: "Let the earth put forth living souls according to their kinds, domestic animal and moving animal and wild beast of the earth according to its kind." And so it came to be so. And God proceeded to make the wild beast of the earth according to its kind and the domestic animal according to its kind and every moving animal of the ground according to its kind. And God got to see that it was good. And God went on to say: "Let us make man in our own image, according to our likeness, and let them have in subjection the fish of the sea, and the flying creatures of the heavens and the domestic animals and all the earth and every moving animal that is moving on the earth." And God proceeded to create the man in his image, in God's image he created him, male and female he created them. Further God blessed them and God said to them; "Be fruitful and become many and fill the earth and subdue it, and have in subjection the fish of the sea and the flying of creatures of the heavens and every living creature that is moving on the earth." And God went on to
say: "Here I have given to you all vegetation bearing seed which is on the surface of the whole earth and every tree on which there is the fruit of the tree bearing seed. To you let it serve as food. And to every wild beast of the earth and to every flying creature of the heavens and everything moving upon the earth here is life as a soul. I have given all the green vegetation for food." And it came to be so. After that God saw everything and it was very good. And then there came to be evening and there came to be morning, a sixth day.
Creation: Day Six

Maestoso \( \downarrow \text{40} \)

<table>
<thead>
<tr>
<th>Violin I</th>
<th>Violin II</th>
<th>Viola</th>
<th>Cello</th>
<th>Double Bass</th>
</tr>
</thead>
<tbody>
<tr>
<td>( \text{c} - )</td>
<td>( \text{c} - )</td>
<td>( \text{c} - )</td>
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<tr>
<td>( \text{b} &gt; )</td>
<td>( \text{b} &gt; )</td>
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<td>( \text{b} &gt; )</td>
</tr>
</tbody>
</table>

Nevin Brian Rosen
Allegro $\frac{1}{=100}$

(2+2+3)

Vln. I

Vln. II

Vla.

Vc.

Cb.

Vln. I

Vln. II

Vla.

Vc.

Cb.
Day 7

Thus the heavens and the earth and all their army came to their completion and by the seventh day God came to the conclusion of the work he had made, and he proceeded to rest on the seventh day from all the work that he had made. And God proceeded to bless the seventh day and make it sacred, because on it he has been resting from all of his work that God has created for the purpose of making. This is history of the heaven and earth in the time of their being created in the day Jehovah “God” made the heavens and the Earth.
Creation: Day Seven

Nevin Brian Rosen

Adagio \( \frac{\text{J} \cdot 52}{\text{Molto Expressivo}} \)

Violin I

Violin II

Viola

Cello

Double Bass
Shostakovich's Symphony No. 5, Movement 4:

A Parametric Analysis

By Nevin Brian Rosen

Thesis
Youngstown State University
Dr. Rollin
Summer 2009
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Thesis Statement

An analysis of the fourth movement of Dmitri Shostakovich’s Fifth Symphony will reveal the composer’s compositional techniques that successfully reconcile his artistic needs as a progressive twentieth-century composer with the desire to be a faithful citizen of the Soviet Union. Dmitri Shostakovich was a man who lived in two distinct worlds. In one world, there dwelt the artist; in the other world, the loyal Soviet citizen.

Historic Background

Born on September 25, 1906 to Dmitri and Sonya, Shostakovich began his life in a loving household. At the time of his birth, Shostakovich had a sister Mariya. In 1908 another sister Zoya was born into the household. Shostakovich’s father, Dmitri, was a graduate of St. Petersburg University with a degree in biology. However, his employment was as a senior keeper at the Palace of Weights and Measures. Sonya studied piano and graduated from the Institute for Noblewoman in Irkutsk. She also studied at the conservatoire at St. Petersburg.

At the age of nine, he began studying piano with his mother and showed immediate promise with the ability to learn musical notation instantly. His mother was so excited about Dmitri’s ability that she announced to the family: “We have an outstandingly gifted boy on our hands.”

Shostakovich first attended Shidlovskaya, a high-level coeducational school attended by children of the intelligentsia. At the age of thirteen, he entered the St.

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Petersburg Conservatoire. He graduated July 1925 at 19, with degrees in piano and composition. His exit piece was his First Symphony.\textsuperscript{2} During his time at the Conservatoire, Shostakovich was quite prolific. Some of the major works he produced during this period are: Scherzo for Orchestra Op. 1; 8 Preludes for Orchestra Op. 2; Theme and Variations in B-flat Op. 3; Suite in F-Sharp for Two Pianos (composed in memory of his father who had passed away on February 24, 1922.); and Piano Trio No. 1 in C Minor Op. 8.

Shostakovich was employed during his later years at the Conservatoire. In the fall of 1923, he became the accompanist in the Bright Reel Cinema, playing for silent films. This position may have played an important role in his life as a composer. Indeed, Shostakovich had a very successful career as a film scorer. His first film score, Alone was written in 1931. He also scored Golden Mountains during the same year. Shostakovich has twenty-nine film scores to his credit between 1931 and 1967. The last film he scored was entitled Sofia Perovskaya.\textsuperscript{3}

He was very paced and consistent with his film score output during this thirty-six year span. His longest hiatus was a four-year span from 1940 – 1943 as well as two three-year hiatus from 1951 – 1953 and 1961-1963. Single years when he did not compose for film were 1933, 1935, 1946, and 1966.\textsuperscript{4}

\begin{flushright}
\textsuperscript{2} ibid, pp. 6-7
\textsuperscript{3} Ian MacDonald, \textit{The New Shostakovich} (Boston: North Eastern University Press, 1990), pp. 279-289.
\end{flushright}
After graduation, Shostakovich continued composing successfully. It seemed as though he was not only surviving, but actually thriving in his two worlds. He composed on his own terms by writing the pieces he chose to write, when he wanted to write with little, if any, interference from the Communist Party. One must always keep in mind, under the Soviet rule, the arts were under very strict scrutiny and the least amount of Western influence often referred to as decadent, “bourgeois” influence, could result in a career-damaging reprimand at minimum or more severe punishment such as deportation to a work camp or even death. Unfortunately, Dmitri Shostakovich was to find this out all too soon.

In January of 1934, the opera, *Lady Macbeth of Mitzenk* premiered in Leningrad. The opera was extremely successful. However, two years into a successful run, the enthusiasm for this opera was about to come to an abrupt end. On January 28, 1936 *Pravda*, the Soviet States official publication, ran a scathing article entitled, *Muddle Instead of Music*. This article portrayed the opera as a cacophonous and pornographic insult to the Soviet People. Some excerpts from this article:

> From the first minute, the listener is shocked by deliberate dissonance, by a confused stream of sounds.... ...To follow this music is difficult, to remember it is impossible... ...The music quacks, and growls and suffocates itself. ...And “love” is smeared all over the opera in the most vulgar manor. The merchant’s double bed occupies the central position on the stage. On it, all problems are solved... ...Lady Macbeth is having a great success with bourgeois audiences abroad. Is it not because the opera is absolutely apolitical and confusing that they praise it? Is it just not explained by the fact that it tickles the perverted tastes of the bourgeoisie with its fidgety, screaming neurotic music?

---

In a continuing barrage of denunciation of Shostakovich's works, a week later another article appeared in Pravda. This article, entitled *Falsehood in Ballet*, attacked Shostakovich's ballet, *The Limped Stream*, in the same fashion as *Lady Macbeth*.

The works of Shostakovich began to be removed from programs. Musicians refused to perform his pieces. On February 10, 13, and 15 the Moscow Composers' Union held heated sessions denouncing Shostakovich and his music. At the same time, the Leningrad Composers' Union held similar meetings, as well on the same topic. While still taking of words of Pravda as infallible, they stood by Shostakovich. In Leningrad they pledged to help the young composer find the error of his ways and lead him on the correct musical path.

It surely came as a complete shock to Shostakovich to be denounced so harshly after the opera had already been in production for two years. Shostakovich was very concerned about his future, not only as a composer but also as a Soviet. At the same time when the Pravda articles were published, Shostakovich was in the process of rehearsing his Fourth Symphony. Shostakovich had enjoyed great success and acclaim with his first three symphonies, but his Fourth was considerably more dissonant. Considering the assault on dissonance in the Pravda articles, Shostakovach chose to stop preparations for

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7 *ibid* pp 205-207.
8 *ibid* pp 210, 216.
the premiere of Symphony No 4.\textsuperscript{10}

At the time of the \textit{Pravda} articles and the discontinuation of preparations for the Fourth Symphony, one must keep in mind that Stalin had implemented a five-year plan (1928-1932). This plan created outside pressure on Soviet composers, including Shostakovich, to become increasingly selfconscious. This plan also undermined his musical confidence. His symphonic output until Symphony No. 4 followed the trends of his earlier symphonies, while, on the other hand, his smaller works showed signs of more progressive thought. In these smaller works compositional techniques such as neo-classical forms and understatement were implemented. It is as though he were attempting to satisfy his need for creativity as well as his need to satisfy those who could determine his fate.\textsuperscript{11}

After the \textit{Pravda} articles, Shostakovich, for all intents and purposes, became a nonentity in Russian music. As was stated before, his music was not being performed and Shostakovich's own musical output decreased significantly. Shostakovich's musical works from the time the \textit{Pravda} articles were published until the premier of the 5th Symphony consist of the Four Romances Op. 46 and two incidental music film scores. Shostakovich did, during this time, accept an invitation to give tutorials on composition and orchestration at the Leningrad Conservatoire.

Shostakovich began drafting the 5th Symphony on April 18, 1937 and finished.

\footnotesize{\textsuperscript{10} The Fourth Symphony was not premiered until December 30, 1961. \\
only three months later, the final draft on July 20, 1937.\textsuperscript{12} Shostakovich relates that the short time needed to draft that symphony was preceded by a great amount of "lengthy internal preparation."\textsuperscript{13}

The symphony's premiere conductor, Evgeny Mravinsky, was a young, little-known composer who had just been appointed conductor of the Leningrad Symphony Orchestra. Rehearsals began on November 17th and it was not long after rehearsals began that Shostakovich became concerned with Mravinsky's technique. In Shostakovich's opinion, Mravinsky was overly picky about all the minor details of the piece, constantly asking Shostakovich to explain the meaning of each measure. Shostakovich, on the other hand, said very little at the first rehearsal about how the piece was to be played. A breakthrough was made in communication between composer and conductor when Mravinsky intentionally took all the incorrect tempos. This made Shostakovich so angry that he finally began to interpret his work. After the success of the premiere, Shostakovich realized Mravinsky had truly taken the correct path in bringing the symphony to its full potential.\textsuperscript{14}

The Symphony was premiered in Leningrad on November 21, 1937. For many it was seen as a public vindication of Shostakovich's name. The success of the premiere also restored him as an important and influential Soviet composer. One audience

\begin{footnotes}
\item[13] The original manuscripts for the Fifth Symphony have never been located. Yefim Sadounikov has been credited with giving the precise start and completion dates without indicating any sources.
\end{footnotes}
member, A. N. Glumon, remembers:

Many of the listeners began to rise automatically from their seats during the finale, one after another. The music had a sort of electrical force. A thunderous ovation shook the columns of the white Philharmonic Hall, and Evgeny Mravinsky lifted the score above his head, so as to show that it was not he, the conductor, or the orchestra who deserves this show of applause, these shouts of "bravo", the success belonged to the creator of the work.\textsuperscript{15}

Shostakovich and his Symphony No. 5 were not without critics and detractors. After the symphony enjoyed months of continuous success, Isaak Dunayevsky, a song writer, and then president of the Leningrad Composers Union published a memorandom on January 29, 1938, the day of the Moscow premiere stating that the symphony was:

a balyhoo, even a psychosis that threatened to lead the Soviet music into a climate of "creative laissez-faire" in which the Union might not be able to exercise its police function.\textsuperscript{16}

The success of the Fifth Symphony with the general public came as a surprise to party "leaders of culture.” Two executives, V. Surin and B. Yarustonsky, were sent from Moscow to Leningrad to investigate. They attended a performance and were amazed by the response from the audience. Surin, while in the lobby after the performance in an intentionally loud voice, exclaims: “Look, the audience has obviously been handpicked to the last man personally!!!...There are no normal people here! The symphony’s success has been scandalously fixed!”\textsuperscript{17}

A concert performance for party members was arranged by the Leningrad

\begin{flushleft}
\textsuperscript{16} Manashin Idakuvbov, \textit{The Fifth Symphony: The Story of How it was Composed and its First Performances} (Moscow: DSCH Publishers, 2004), p. 171.
\textsuperscript{17} \textit{Ibid}
\end{flushleft}
Regional Committee of the All-Union Communists Party, perhaps in an effort to raise questions about the true success of the symphony. However, even the party member audience was enraptured by the symphony. Igor Stravinsky also took a turn at mocking the work in his Harvard lectures in 1939, later published as *Poetics of Music*. He describes it as “a consummate masterpiece of bad taste, mental infirmity, and complete disorientation in the recognition of the fundamental values of life.”¹⁸

There are currently two schools of thought concerning Shostakovich. One is that of Ian MacDonald, the author of *The New Shostakovich*. MacDonald’s theory believes Shostakovich was, in fact, a Soviet dissident with hidden ridicules and mockeries throughout his music, particularly in the music of Symphony No. 5.¹⁹ This theory is based mostly on a book of Shostakovich memoirs entitled, *Testimony* by Solomon Volkov. The other is that Shostakovich was always a loyal Soviet. Most other scholars of the works and life of Shostakovich agree with the latter making it the most accepted one.²⁰

While it is out of the scope of this research to defend either of these ideological positions, it is important to mention them. What is important is the fact that the Fifth Symphony received such rave reviews by the public at large. It is important in that the symphony’s program notes included a subtitle, “A Soviet Artist’s Response to Just

---

¹⁹ Certainly because this is the first major work to follow the *Prosva* attacks of 1936.
Criticism.” While never authorizing the subtitle, Shostakovich never refuted it or asked for its removal from the programs. The purpose of this study is to illustrate and prove that through the compositional process Shostakovich finds a place to belong in the Soviet world and the global artist’s world simultaneously by means of Symphony No. 5 in general, and the fourth movement in particular.

**Form**

Movement four in Symphony No. 5 is labeled "Allegro non troppo." The form of this movement is sonata-allegro. The initial A, or exposition section, consists of 123 measures. Contained in these measures are four themes, which are:

Ex. 1: 4 Themes of Exposition
The exposition themes are constructed in the following manner:

<table>
<thead>
<tr>
<th>Measure No.</th>
<th>1</th>
<th>11</th>
<th>24</th>
<th>42</th>
<th>83</th>
<th>98</th>
<th>112</th>
</tr>
</thead>
<tbody>
<tr>
<td>Theme</td>
<td>a1, b1, a2, c1, a3, d1, d2, a4</td>
<td>(10+)</td>
<td>(7+2)</td>
<td>(4)</td>
<td>(12+2+4)</td>
<td>(7+15+7+6+4+)</td>
<td>(13+4)</td>
</tr>
<tr>
<td>No. Of Measures</td>
<td>(9)</td>
<td>(18)</td>
<td>(39)</td>
<td>(17)</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Example 2: Form, Exposition: mm. 1-124

As often the case with the exposition in sonata-allegro form, the "a" theme is heard the greatest number of times. In this case, the exposition is rondo-like in nature with "a" theme being heard after each new theme is introduced. It is also interesting how balanced this exposition is. Out of a total of 123 measures, 65 measures comprise "a" theme passages while "b," "c," and "d" themes combine to 58 measures. Also "a1" and "a4" approximately balance one another at 10 and 12 measures respectively.

The B or development section also contains 123 measures. This section begins using the “d” theme in free augmentation (with musical flow maintained by repetitive accompaniment figures).

Ex. 3: Theme "d" augmented

This is the last time the "d" theme is heard in the movement. In relatively
quick fashion other themes, "e" and "f," are introduced for the first time. The "e" theme is derived from the "d" theme, with "e" being a metamorphosis of "d's" falling 4th.

Ex. 4: Themes e & f

<table>
<thead>
<tr>
<th>Measure No.</th>
<th>124</th>
<th>144</th>
<th>165</th>
<th>177</th>
<th>210</th>
<th>231</th>
</tr>
</thead>
<tbody>
<tr>
<td>Theme:</td>
<td>d3</td>
<td>e1</td>
<td>f1</td>
<td>a5</td>
<td>b2</td>
<td>g1</td>
</tr>
<tr>
<td>No. of Measures:</td>
<td>(2+18)</td>
<td>(21)</td>
<td>(12)</td>
<td>(8+21+4)</td>
<td>(21)</td>
<td>(16)</td>
</tr>
</tbody>
</table>

Example 5: Form, Development: mm. 124-246
The initial "d" theme, which opens the development section, begins at m. 126 and lasts 18 measures; "e" lasts 21 measures, and "f," 12 measures. The "a" theme then reappears in the development at measure 185. It is disguised as a long augmented bass line, consisting of the second, third and fourth notes of the "a" theme. The "b" theme returns for the second and final time at m. 212. It is also in augmentation and can be a bit difficult to recognize on the initial listening.

Ex. 6: Theme "b" freely augmented

To conclude the development, a third theme, "g," is introduced at m. 231. Theme “g” (18 measures in length) is derived from an accompaniment figure found in the last eleven measures of Shostakovich’s setting of the Pushkin poem “Rebirth” (Vozrozhdeniye, Op. 46/1), composed immediately before the Fifth Symphony, Op. 47.  

Ex. 7: Pushkin Romances Op. 46 / 1, mm. 18-29 (end)

In the final quatrain of this poem, when the "g" theme begins, the words read: "So do delusions vanish from my wearied soul and visions arise within it of pure primeval
This poem refers to a painting that has been defaced but is restored over time. It is compared to a spiritual regeneration. The placement of this theme at the conclusion of the development section suggest that Shostakovich is struggling between the desire to compose without restrictions, and the reality that he must consign himself to the scrutiny of the Soviet Party.

Yevgeny Mravinsky, the conductor of the premiere, stated the following about the finale:

Shostakovich makes great effort to make the finale the authentic confirmation of an objectively affirmative conclusion. But in my view this confirmation is achieved to a large extent by external devices: somewhere in the middle of the movement the quick tempo spends itself and the music seemingly leans against some sort of obstacle, following which the composer leads it out the cul-de-sac, subjecting it to a big dynamic build-up, applying an induction coil.

Shostakovich, if we consider the comments of Mravinsky, wrestled with how to return to the recapitulation. Just as the painting is restored in Pushkin's poem, so is the movement's original mood. His technique in achieving this is to simplify rhythm and texture through the incorporation of "g" theme at the development's concluding pivotal point. The "g" theme proves to be important not only as a compositional tool, but also as an inspirational source for continuing his struggle to reaffirm his good name among Soviet society.

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23 Ibid, p.45
24 Ibid, p.45
One particularly notable fact about the "g" theme: when introduced, the first eight measures also contain theme "c" augmented in the lower strings (See Ex. 7). Therefore, when the "g" theme is first heard, it is more like the Pushkin Romances in that it is more accompaniment-like. After nine measures the harp assumes the theme in m. 239 and it becomes the sole moving force of the section (Ex. 8).

Ex. 8: Theme "c" augmented in lower bass line with Theme "g" in top voice (mm. 231-238)
Ex. 9: Theme "g" Harp alone in upper voice solo mm. 239-246

As often the case with the traditional sonata-allegro development, the development section has the most new material. It is also noteworthy to state that themes, "d," "e," "f" and "g" each appear only once in the development and nowhere else in the movement. Here Shostakovich does an excellent job of keeping in the listener's consciousness on the main theme "a" by redefining it as an inconspicuous accompanimental augmentation in mm. 185-205.

Upon close examination of the development section, it can be seen Shostakovich
is very clever with his construction of themes. He begins with theme, "d," "e," and "f" and concludes with themes "a," "b," and "g." However, the "g" theme coexists here with hints of the "c" theme and could be labeled "a," "b," and "c" at the development's conclusion.

The development section also shows great balance. It has 123 measures to the exposition's 123 measures. The "d" theme, which opens the development after two transition measures, has 18 measures. The "g" theme, which closes the section, contains close to the original length (16 measures), considering that the first two measures of d3 act as a bridge. The "a" theme returns toward the middle of the section, giving the development section a nice arch-like structure.

The development's primary technique is the employment of augmentation of previously introduced material. New material introduced in the development section is flowing and melodic. However, the tempo marking is half note = 80, which is relatively fast. Shostakovich with these long augmented and flowing melodic themes gives the illusions of andante when movement is actually quite rapid. The rhythms are simple and the entire development section becomes very relaxing to the listener. This relaxation is unusual for a development section.

The recapitulation begins at m. 247. Theme "a" is stated and the listener is cognizant that the recapitulation has begun and the movement is nearing its final measures. To keep interest throughout the movement Shostakovich adds yet another theme.
Theme "h" is heard between "a6" and "a7" and again between "a7" and "a8." The recapitulation can be viewed as a crescendo to the movement's largest climax which occurs in m. 324 marking the beginning of "a9" lasting for 35 measures. While not the longest section, it is by far, the most intense, with its concert "A" ostinatos and fortissimo dynamics. But most notable is the abrupt half step modulation to D major.

Shostakovich takes great care to balance his recapitulation as he did with the previous sections. The beginning and concluding "a's" of the recapitulation are relatively the same size.

Both "h" sections are nine measures in length and are presented in a rondo-like fashion.

<table>
<thead>
<tr>
<th>Measure No.</th>
<th>247</th>
<th>278</th>
<th>287</th>
<th>291</th>
<th>300</th>
<th>324</th>
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<tr>
<td>Theme:</td>
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<td>No. of Measures:</td>
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<td>(31) (9) (4) (9) (24) (35)</td>
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</table>

Example 11: Form, Recapitulation: mm. 247-end
In summary, the form of movement 4 shows great balance. The measure proportions of the exposition, development, and recapitulation are 123,123, and 112 measures respectively. Each section has an even number of sub sections and there are eight themes throughout, further enhancing this balance. It is interesting that the "a" theme appears in each section of the ABA form and, out of the 358 measures that comprise the movement, it appears in 162 measures, though sometimes very freely.

Harmonic and Tonal Outline

The harmonic and tonal outline of movement four in Shostakovich's Symphony No. 5 is complex. While the principle tonal center is "d," there are twenty other tonal centers paired with modal and artificial scale elements. In this 358 measure-long movement, 200 measures have a discernable tonal center, leaving 158 measures where the tonality has been somewhat blurred by one or more compositional techniques.

Similarly, the harmonic structure in the exposition itself includes fast-paced shifts in tonal centers, as well as sections where tonality is obscured. While the tonal center of "d" is immediately established, it last only 21 measures before going on what could be considered an harmonic "joy ride" through m. 97

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25 Small letters implies center with a lowered third ("quasi minor") and capitals imply a major third.
Example 12: Tonal Centers, Exposition: mm. 1-97

Considering tempo, the only main structural tonal center in the first 97 measures is "d." It appears in the beginning as d Aeolian and again as a "d" alternating scale (beginning with a half step and very freely treated) in m. 58. All other tonalities, implied tonalities, or suspended tonalities are subsidiary to the main tonal center "d." With these quick harmonic changes, early on in the exposition, Shostakovich displays his mastery of harmonic progression, especially between m. 42 and m. 80, where Shostakovich takes the

26 Tonal Centers below the horizontal line are embellishing rather than primary.
principle theme "a" and changes briefly to another center or suspended tonality 10 times. At m. 98, the tonal center of "A" is established. This lasts 10 measures and again, Shostakovich suspends tonality until the development section begins at m. 124. The tonal center "A" is punctuated at the beginning of m. 98 by the movement's first main climax. Shostakovich, by placing his first climax at this point, is assuring the listener he is not haphazard, but rather has a clear and precise plan.

<table>
<thead>
<tr>
<th>Meas.</th>
<th>98</th>
<th>108</th>
<th>113</th>
<th>117</th>
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<tr>
<td>A</td>
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</table>

(1st Main climax)

Example 13: Tonal Centers, Exposition: mm. 98-123

It is the development section where Shostakovich becomes most impressive with his mixture of tonal centers, and suspended tonality. When a tonal center can be established, it is always in close proximity to the tonic of the movement's primary tonal center "d." All tonal centers in the development travel largely by a half step from the dominant "A" or the tonic "d." This creates a feeling of harmonic comfort to the listener, bringing them back toward the original tonality or at least its dominant while
interspersing long andante sections of music where tonality cannot be clearly established.

Example 14: Tonal Centers, Development: mm. 124-246

By keeping development sections where tonality can be established so close to the original tonal center and its dominant, and at the distance of a half step, Shostakovich has created an innovative method of implementing tonal center change, while keeping the listener in touch with the movement's primary tonality.

The recapitulation is the most tonal section of the movement. Through its 112 measures, tonality can be established at any point with the possible exception in mm.
296-300 where tonal center change is occurring. The "d" is the predominant tonal center. However, for only the second time, another tonal center is introduced. The "h" theme, which is first heard in the recapitulation, has a tonal center of Eb. A half step above the main tonal center, Shostakovich stresses the importance of this center by making it a part of the first of two main climaxes in the recapitulation. This climax, at m. 291, has the "h" theme appearing for the second and final time. The tonal center of Eb is established for only five measures before it begins to change. The theme now appears in 3/4 time which adds emphasis to its restatement.

Tonal center change becomes the key harmonic component in the final measures before the movement's coda. As the "h" theme draws to its conclusion, a movement toward the tonal center "c" occurs. From "c" it moves up to "Db." "c" and "Db" are also structural tonal centers in the recapitulation because of their length; however, their primary purpose is to act as harmonic passageways to the final tonal center. For one brief moment (m. 315), a "d" tonality can be established. This surely is a foreshadowing of the movement's final shift. After m. 315, the tonality returns to "Db." The harmonies in the final measures before the coda form a wedge outward until the "d" tonal center is reestablished again in m. 324 remaining until the final downbeat. In the tradition of Beethoven, this "d" tonal center now becomes "D."
Example 15: Tonal Centers, Recapitulation: mm. 247-end

Through the harmonic progressions of the recapitulation, Shostakovich has brought the sections of the finale together by using both the traditional (i.e., ending in the parallel major of the opening key) and the modern (i.e., linear tonal center changes, and chromaticism) to create a harmonically balanced finale.

**Climaxes**

Climaxes are profound moments within the work, which are points of marked change or affirmation of idea content. Subtle points of structural emphasis are points in the movement of special interest where the moment is used to draw the listener's attention.

Five climaxes clearly punctuate the movement. The first occurs at m. 98. The “d” theme is heard again this time; however, instead of being heard by solo trumpet, it is now fully orchestrated by the use of upper woodwinds, strings, and low brass at
fortissimo. A cymbal crash occurs here along with fanfares played by the trumpet section to emphasize the importance of this theme “d.”

In a relatively short amount of time, the second climax occurs in m. 112. A d-diminished chord along with a quadruple forte in the cymbals takes place on beat one. On beat two, a tam-tam is struck at fortissimo and an eighth-note timpani ostinato consisting of g# and the pitch "d" being struck at the same the same time at a dynamic level of fortississimo. This sets the mood for the fortississimo reinstatement of the main theme “a” and is the true climax of the exposition.

In the development section there is a third climax. This climax occurs in m. 156. It is smaller in orchestral forces and more subtle. Here Shostakovich creates the climax by using the extreme register of the violin along with a three-measure crescendo to fortissimo prior to the violin's peak. This marks the development's true climax.

The next and final two climaxes occur in the recapitulation at m. 291 and 324. Notably there are no other climaxes between these two. The climax at m. 291 introduces an extensive 3/4 meter section, the only one in the movement. This 3/4 section lasts until the final climax at m. 324. Prior to the climax in m. 291, there were only three other time signature changes occurring for only one measure before returning to the predominant time signature of 4/4. Here instruments are playing at a fortissimo including a fortissimo triangle roll and cymbal crash.

The final climax comes in m. 324. This climax is also the principle climax of the movement. The key signature changes for the first and only time. The time signature

122
reverts back to 4/4. All instruments are playing at fortississimo with the exception of
percussion. Concert A ostinatos begin on beat four and continue throughout the
movement's conclusion. This is in anticipation of the triumphant return of the main theme
now in D major.

Points of Structural Emphasis

In the fourth movement there are three points of structural emphasis. The first
occurs in m. 49. A fortissimo chord is played in the horn section with a dissonant concert
A contained in the chord. This introduces the main theme again; this time, however, in
Eb Aeolian. The next point of structural emphasis occurs in m. 81. This climax comes as
a result of a chromatic ascension in the previous measure. M. 81 marks the introduction
of theme “d.” Theme “d” is one of the predominant themes of the movement, arguably
second only to the main “a” theme. The rapid 16th notes which accompany the theme add
tension and chromaticism. The final point of structural emphasis occurs in m. 239. This
is achieved by the introduction of the harp playing theme “g.” Theme "g" is taken from
“Rebirth” contained in Shostakovich's setting of the Pushkin Romances.
**Exposition**

<table>
<thead>
<tr>
<th>m. 49</th>
<th>m. 81</th>
<th>m. 98</th>
<th>m. 112</th>
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<tr>
<td>Climax</td>
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<tr>
<td>Points of Structural Emphasis</td>
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<tr>
<td>Tonal Center</td>
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<td>Chromatic</td>
<td>A</td>
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</table>

**Development**

m. 156  m. 239

<table>
<thead>
<tr>
<th>m. 291</th>
<th>m. 324</th>
</tr>
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<tbody>
<tr>
<td>Climax</td>
<td></td>
</tr>
<tr>
<td>Points of Structural Emphasis</td>
<td></td>
</tr>
<tr>
<td>Tonal Center</td>
<td>Suspended</td>
</tr>
<tr>
<td>Texture &amp; Orch. Info.</td>
<td>Harp solo begins</td>
</tr>
<tr>
<td>Violins in extreme high reg. @ fortissimo</td>
<td></td>
</tr>
</tbody>
</table>

**Recapitulation**

Example 16: Climaxes, Points of Structural Emphasis and Tonal Centers.
Shostakovich, through his use of climaxes and points of structural emphasis, creates an atmosphere of intensity throughout the movement. The various climaxes are distributed throughout the movement in an articulate manner giving the work structural integrity. There are two climaxes in the exposition, one in the development, and two in the recapitulation. There is also balance within each section of the movement with two climaxes and two structural points of emphasis in the exposition, one of each in the development, and two climaxes in the recapitulation.

When considering climaxes in relation to tonal centers, it appears Shostakovich liked to stay close to the dominant or tonic when implementing climaxes. The exception is the climax in the development that occurs because of the violins playing the melodic passage in the extreme upper register. There is no clear tonal center at this climax.

**Rhythmic Structure**

The rhythmic structure of the fourth movement is relatively conservative. This actually holds true throughout the entire symphony. There are few changes in time signatures. When Shostakovich does change meter, it's generally only for one measure and the quarter note always receives one beat. However, there are two important exceptions to this pattern. In movement 4 at m. 261, the time turns to 3/2 for one bar. Although the recapulation begins at m. 247, this 3/2 meter at m. 261 is the passageway to the crux of the recapitulation.

Following this measure, the recapitulation really begins to move with greater rhythmic differentiation. Starting in m. 262 and continuing to the final measure, eighth-
note patterns appear in one voice or another accompanying the themes of the recapitulation. Shostakovich uses the other time changes to achieve the same effect. The other exception is, of course, the extended 3/4 section of the recapitulation known as theme "h." It is possible that Shostakovich included this extended 3/4 section to create rhythmic tension leading up to the final climax at m. 324. There are hemiolas within this section appearing in mm. 291-299. It appears Shostakovich keeps his time-signature palette simple because he is able to achieve some unique ideas using other rhythmic elements.

Dotted notes play an important roll in the rhythmic structure of the fourth movement. Present in this movement are both dotted quarter and dotted eighth notes in the primary theme "a." Dotted notes can be found in the first three themes and theme "e."

Shostakovich's use of syncopation juxtaposed against the prevailing dotted rhythms creates a feeling of unrest.

Example 17: Rhythmic Unrest mm. 108-111
Here the lower part flirts with a hemiola from triple to duple, while the upper part reaffirms the downbeat:

Example 18: Hemiola Accompanimental Parts mm. 291-299
While Shostakovich uses the above-mentioned techniques tastefully, without a doubt, the rhythmic technique that sets this movement apart from others is his unique omnipresent treatment of ostinatos. One could argue the entire movement is a collection of ostinatos. From the opening timpani ostinato in m. 2 to the unforgettable concert "a" ostinatos beginning in m. 325 and lasting until m. 355, the ostinato technique used by Shostakovich transcends a mere rhythmic accompaniment figure, becoming rather a method of continuity and rhythmic flow throughout the entire movement.

**Timbre**

Shostakovich's Symphony No. 5 is orchestrated as follows: piccolo, 2 flutes, 2 oboes, E-flat clarinet, 2 clarinets, 2 bassoons, contra bassoon, 4 horns, 3 trumpets, 3 trombones, tuba, timpani, triangle, snare drum, bass drum, cymbals, tam-tam, glockenspiel, xylophone, celeste, 2 harps, piano, violins I and II each being divided into 3 equal groups ("divisi in 3"), viola, cello, and bass. Given the vast array of instrumental choices, Shostakovich's timbre or tone color palette is quite extensive.

Probably the most notable timbre effect of the fourth movement is derived from the third or Largo movement. In the Largo, Shostakovich keeps the brass tacet. The main theme of the fourth movement opens with the brass section at fortissimo. This makes the opening statement of the fourth movement powerful. The brass section remains prominent in the exposition creating punctuations at key moments. The brass section is also used effectively when the main theme reappears within the exposition. The use of brass in the exposition and recapitulation also has an affect on the
development. Other than some modest use of the horn section, the brass is absent from the development, thus creating a thinner texture which creates contrast within the rest of the movement.

The introduction of the "d" theme comes as a trumpet solo. It is surrounded by a furious sixteenth-note ostinato in the upper strings and woodwinds thus creating a very unique timbral moment.

The brass section also plays an important role in the recapitulation. The horns act as a foundation for the restatement of the "a" theme with their pedal concert "a" in m. 250. The trumpets are featured briefly, but effectively, just prior to the introduction of theme "h" by playing theme "a" beginning in m. 286, as a section solo against a background texture provided by the piano and upper strings. This relationship between the piano and upper strings begins at m. 284 and continues until the last measure of the movement. The trumpets are again featured as a soli section.

![Example 19: Trumpet Soli mm. 307-316](image)

The most impressive use of the brass section comes at the final main climax and continues until the final downbeat. The brass now carry the final triumphant "a" theme
(in d major this time) to its conclusion with orchestral support from the concert "A" ostinato.

It is important to note Shostakovich's extensive use of the horn section. The horns play a great deal during this movement. They create a sense of power and beauty. They are the only brass to appear in the development section. As was previously stated, the development was used by Shostakovich to create a relaxed atmosphere and lighter texture. The use of the horn section as a prevailing sound is tasteful as well as unique.

Shostakovich uses the woodwind section, for the most part, as a doubling tool for the string section. He does employ a woodwind choir alone for several measures in the development section. The woodwind section is featured (along with the French horns and timpani) at the beginning of the recapitulation while ushering in the "a" theme.

Example 20: Woodwind Choir mm. 165-175

Upon first examination of this movement, one might feel Shostakovich lacked creativity with his orchestration of the woodwinds. This is not so. When examining more
thoroughly his placement and use of woodwind material, we can conclude he had great knowledge and creativity when orchestrating the woodwind section. His use of understatement with this section brings it to the forefront when it is clearly intended, thus drawing the listener closer to the music.

The use of the piano as an orchestral instrument is an interesting element in this movement. Its use can be described as limited at best. It is never featured as a solo instrument. It only serves to double string and woodwind passages. In movement 4, the piano does not enter until m. 284 as an enhancement to the upper string ostinato. This enhancement continues through m. 356. Interestingly, the piano, does not share the final note of the symphony. By eliminating the piccolo and harp and switching the focus to lower pitches, Shostakovich, again, maintains the listener's interest with an interesting timbral shift.

The harp is a featured soloistic instrument within the symphony, very rarely doubling another instrument. The harp's presence is more pronounced in the first three movements. In movement 4, the harp plays only for nine continuous measures. It is used as a solo instrument playing the "rebirth" (theme g) in mm. 239-247. The beautiful simplicity of those measures is a testimony to Shostakovich's talent in understatement, especially considering they are the final measures of the development. Shostakovich's use of percussion is very straightforward. He uses these instruments to punctuate phrases and highlight musical climaxes. He is not a subtle user of percussion. Whenever percussion is used, especially in the fourth movement, its dynamic level can be
guaranteed to be at least forte.

Textural Structure

The fourth movement, considering its full orchestration, contains relatively few individual strands. This shows that Shostakovich incorporates melodic understatement and uses his orchestration to bring his compositional ideas to the forefront. This is achieved by often doubling melodic and accompaniment lines in the strings and woodwinds, while leaving the brass as an independent section which does not receive any doubling from the other sections.

In the vast majority of the movement, two to three melodic strands are in motion simultaneously. At two points in the movement, only one melodic line appears. This occurs in mm. 6-8 and again in mm. 52-54. These measures punctuate the conclusion of renditions of the "a" theme.

The exposition contains the greatest amount of textural change, most often alternating between two and three strands with each section, for the most part, lasting approximately 10 measures. There are, of course, shorter and longer sections.

The strands of the development are managed quite differently. Here there are long sections consisting of three strands with shorter two strand sections. With these few changes, again Shostakovich achieves a feeling of relaxation, which adds to the unique nature of the development.

The recapitulation has the fewest number of changes in the number of strands used. It also has the longest section of music where the number of strands remain the
same. This creates a sense of stability and conclusion. The longest section where strands remains consistent at two is mm. 295 to the end. With only two strains occurring but a full orchestra playing at fortissimo, Shostakovich creates a powerful conclusion. With relatively few strands of music, Shostakovich creates intense passages in the exposition and recapitulation, as well as beautifully textured passages in the development.

Conclusion

Shostakovich was a brilliant and talented musician and composer. He enjoyed a successful career until the Pravda attacks of 1936. He knew his next major work could redeem or ruin him, thus causing his cancellation of rehearsals for Symphony No.4.

Symphony No.5 brought Shostakovich back from his musical exile because of its immediate success. Although he still had to deal with his detractors, the symphony was clearly a positive turning point. The work, particularly the fourth movement, is full of emotional themes and passages. Shostakovich frees his soul through the music. He gives the piece life. His life! All of the joys, sorrows, fears, and angers he has endured until the time of Symphony No. 5 culminate in this work.

The first three themes of the exposition are strong and enduring. They resound with a feeling of courage and determination. Then comes the "d" theme at the conclusion of the exposition. Played by a solo trumpet surrounded by a torrent of sixteenth notes in the upper woodwinds and strings, it could easily represent Shostakovich and his life after the release of the Pravda attacks. It is very possible that a single man standing alone with relentless attacks on his music could be represented by the trumpet solo in the exposition,
and the torrent of criticism, by the sixteenth notes surrounding the trumpet solo.

The relaxed "d" theme, now in augmentation, begins the development. It is as if Shostakovich now steps back to examine his life. He is relaxed and determined with not only what he must do to regain his good name in Soviet society, but also what is important to him as a musician and a man. He shows this musically by maintaining a relaxed atmosphere throughout the development. Most notably, however, he ends the development with the "rebirth" motif, telling the world he will reclaim his position as a great name in Soviet music.

Shostakovich succeeds with his rebirth in the recapitulation. Here he takes the main theme and proudly converts it to the parallel major tonality. The theme announces Shostakovich has triumphed over adversity and now can move on with his life. In this way, the fourth movement could perhaps be seen as a musical autobiography.

What makes the movement so brilliant is that the Soviets loved the work not knowing its true reflections. To be sure, the Soviets felt the strength and resound of the music and how it represented the strength of the Soviet people. However, now that extensive examination of the piece has been conducted over the years, it appears the work is, again, more autobiographical, especially when examining Shostakovich's life experiences at the time of the composition.

The focus of this research is to establish Shostakovich's ability to maintain good standing in Soviet society while continuing to mature as a twentieth century composer. Clearly, through an examination of the fourth movement, it is evident he did. Because of
the success of the work, he obviously pleased the majority of his critics. Also, by means of parametric analysis, we find unique compositional devices such as his treatment of ostinato and his use of the development section as a relaxation device.

More importantly, however, Shostakovich, his music, and especially the fourth movement of Symphony No. 5, should be an inspiration to musicians and non-musicians alike. Shostakovich was able stand in the face adversity and, not only survive, but mature and thrive. A study of his life and music will make a positive impact on those who come to know him. Of course, additional research on the music of Shostakovich is necessary; in particular, the other movements of this symphony need to be addressed to improve our understanding of the life and music of this great composer.
APPENDIX. Shostakovich Symphony No 5, Movement 4:

Form

Exposition (A1)

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Development (B)

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Recapitulation (A2)

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BIBLIOGRAPHY


