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“THE MOUSE THAT ROARS”

An exploration of the roles and functions of the piccolo flute in Shostakovich Symphonies No. 4, No. 5 and No. 10 through historical and political context

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ABSTRACT

After outlining my personal goal and interest with the chosen subject, I will explore the historical and compositional development of the piccolo in the orchestra by giving examples of several different composers and works and by listing the primary roles and functions of the piccolo as used in the eighteenth and nineteenth centuries. I will then focus on Shostakovich's use of the piccolo, detailing both the technical challenges piccolo-players face with his symphonic writing and the multitude of musical roles and functions given to the instrument. I will then explore the historical and political context of Symphonies No. 4, No. 5 and No. 10, recounting historical events of the time and exploring the influence the political environment had on artists of the day. With this political context in mind, I will then analyse material from the three symphonies in question with a large selection of both musical examples and audio samples to support it.

Key words:

Dimitri Shostakovich, War Symphonies, piccolo flute, auxiliary woodwind instrument, musical role, musical function, technical challenges, solo role, piccolo duo, orchestration, instrumentation, instrumental development, timbre, sonority, Soviet Union, Josef Stalin, Communist Party, Russian revolution, Tsar autocracy, The Great Purge, formalism, Soviet Realism, historical and political context.

CONTENTS

I. INTRODUCTION	5-9
II. HISTORY AND DEVELOPMENT OF THE PICCOLO IN THE ORCHESTRA	
i. Emergence, roles and functions of the piccolo in the orchestra from early 1700s to early 1900s	10-11
ii. Eighteenth and nineteenth century uses of the piccolo with examples from works by Beethoven, Rossini, Bizet, Berlioz, Tchaikovsky, Mahler, Ravel, Rimsky-Korsakov and Stravinsky	12-17
III. DIMITRI SHOSTAKOVICH: An introduction to his use of the piccolo	18-19
In relation to the Shostakovich symphonies:	
IV. TECHNICAL CHALLENGES FOR THE PICCOLO-PLAYER	20-24
V. SUPPORTIVE FUNCTIONS AND AUXILIARY PICCOLO ROLES	25-26
VI. SOLO ROLES OF THE PICCOLO	27-28
VII. THE PICCOLO DUO	29
VIII. HISTORICAL & POLITICAL CONTEXT	30-37
IX. SHOSTAKOVICH SYMPHONIES <i>No. 4, No. 5 and No. 10</i>	38-54
Historical and political context of the symphonies	
Analysis of musical material	
i. <i>Symphony No. 4</i>	38-44
ii. <i>Symphony No. 5</i>	45-49
iii. <i>Symphony No. 10</i>	50-54
X. CONCLUSION	55-56
MUSICAL EXAMPLES INDEX	57-58
AUDIO SAMPLES INDEX	59
LIST OF SOURCES	60-61

I. INTRODUCTION

For the orchestral piccolo-player, some of the most substantial, challenging and exciting musical material in the whole orchestral repertoire is without doubt the Shostakovich symphonies. Ask any professional piccolo-player and you will receive the same confirmation that this particular set of orchestral parts is an absolute keystone in piccolo-playing. These works not only pushed players of the time beyond the limits of instrumental, technical and musical capacity, but continue to both thrill and terrify top professional piccolo-players of today's best orchestras.

Considering the piccolo is classed an auxiliary member of the woodwind family, and observing how few composers throughout history dared to exploit the instruments's full capacity beyond its most basic of auxiliary functions, Shostakovich's allocation of such important, challenging and contrasting solo material to the piccolo at such key moments throughout the symphonies is striking. Shostakovich dared to use the piccolo in ways rarely seen before, only a handful of composers having anticipated him in exploring a fuller spectrum of the piccolo's expressive potential and personality. Shostakovich took the piccolo way beyond the earlier subservient functions and musical roles, writing for the small flute as 'its own instrument with its own individual qualities and dimensions'¹. He met the instrument with a new approach and a refreshing sense of respect and the result was spectacular!

I have chosen to explore this subject with great enthusiasm firstly because I feel deep affinity with the music of Shostakovich and a strong urge to understand and interpret his works on a deeper level, and secondly because, as a tutti flute and piccolo-player, I face the responsibility of technically mastering this particular set of symphonic parts. Apart from the regular inclusion of Shostakovich symphonies in orchestral season programmes worldwide, a selection of passages from the symphonies is almost guaranteed to appear on any piccolo audition list (even for a position in an *opera* orchestra!), and with good reason. Many of the soli and tutti passages are such that the piccolo-player is stretched to the absolute limit of both technical capability and musical expression. The challenges faced and the huge variety of musical roles demanded of the player make the passages extremely efficient test pieces and have understandably come to hold an important

¹ Extract from an interview I held with Tina Ljungkvist, September 2015, Gothenburg

position in piccolo audition repertoire of today.

During my masters study, I had the opportunity of playing the piccolo part in both Shostakovich *Symphonies No.5* and *No. 10* with the *University of Gothenburg Symphony Orchestra*.² Although these were both very enjoyable and satisfying musical experiences, I can also say I found them to be quite terrifying! In September 2015, a year after graduating, I then returned to Gothenburg to play second piccolo in *Symphony No. 4* with *Gothenburg Symphony Orchestra*³ and, as a more experienced professional musician, still found it to be quite a daunting experience and steep learning curve. Through these three performing opportunities, I began to both grasp and be amazed by the extent to which Shostakovich exploited the piccolo, the severity of technical difficulties and the level of musical responsibility entrusted to piccolo-players throughout these works. I began to see how this multitude of demands was constantly shifting from movement to movement, passage to passage and sometimes even bar to bar! The distinct set of challenges I faced as an instrumentalist in each of these symphonies not only inspired me to improve aspects of my piccolo-playing and overcome, to some extent, the incredible difficulty of Shostakovich's writing, but to learn more about the political environment that brought us to this monumental moment in piccolo-scoring.

The piccolo is such a key feature and musical voice throughout the symphonies, it is as if Shostakovich, recognising an unparalleled expressive power, versatility and strength of character in the piccolo, elected this uncanny voice to convey some of his darkest personal messages. During my research I came across a phrase that touched me so much, and seemed to encapsulate so perfectly his ambiguous choice of this tiny instrument for such epic purposes, that I was inspired to use it as the title of my project. In relation to the characterful piccolo solo in the first movement of *Symphony No. 9*⁴ (Example 50), Professor Robert Greenberg, in his collection of lectures entitled *Shostakovich - His Life and Music*, describes the piccolo as “the mouse that roars”.⁵ This evocative characterisation of the small flute as a pipsqueak instrument capable of a vast and powerful expression, in my opinion, reflects perfectly the composer's attitude and respect for the small flute

² Please refer to audio samples of live performances with *UGSO*, 16 April 2012 (No. 5) / 18 November 2013 (No. 10)

³ Please refer to audio samples of live performance with *GSO*, 15 September 2015

⁴ *Symphony No. 9*, first movement, bars 47-86 (Example 50) Please refer to musical example index, pages 57-58

⁵ Professor Robert Greenberg, Lecture series *Shostakovich - His Life and Music*, 2002, The Teaching Company Limited Partnership, lecture 5, *The Great Patriotic War*

and his willingness to use it as a clear means of artistic self expression during such difficult and suppressive times in history.

Shostakovich scored the piccolo flute in all his symphonic works except *Symphony No. 14* in which he specifically chose not to utilise any wind instruments. Although most the works contain notable and charismatic material for the piccolo, I have decided to focus my attention on *Symphonies No. 4, No. 5* and *No. 10* in order to explore the musical material and investigate relevant issues in more depth. Additionally I feel as these are the works in which I have participated as a player, I am more able to relate to the playing issues at hand.

The collection of *Symphonies No. 4 to 9*, known as the *War Symphonies*, were written between the years 1936 and 1945, a period that is generally considered to be one of the most tragic eras in world history. The horrors of the political environment profoundly affected composers and artists of the day and it is this influence in Shostakovich's symphonic works that I wish to explore.

Since no music can be divorced from human context which gave birth to it, it follows that understanding the context in which Shostakovich composed is directly relevant to the performance and audition of the compositions.⁶

In absolute agreement with this statement, I believe that to do one's best job as a musician, it is essential, or at least very enriching, to have knowledge of the background and context of a piece of music which one is performing. With this understanding I believe we are able to reach further beyond the notes on the page. We are able to connect on a deeper level with the emotional and personal content of the music. This in turn enables us to find and express a clearer meaning and ultimately deliver a stronger and more powerful message to our audience. Through my research and the comparisons I was able to draw between Soviet history and Shostakovich's musical output, I have come to understand that these works are extremely personal and often direct reflections of what was happening at that time in the Soviet Union and in his own life. Although *Symphony No. 10* does not belong to the *War Symphonies* collection, I decided to include the work in my investigations because apart from its epic historical significance, written just after the death of

⁶ Dr Clorinda Panebiano-Warren, online article, *The Piccolo in the Fifteen Symphonies of Dimitri Shostakovich* (2009), 1. Here she quotes Ian MacDonald's *Universal because specific : Arguments for a contextual approach*, www.siu.edu

Stalin in 1953, this work is commonly considered by piccolo-players to be the the toughest and scariest part in the whole orchestral repertoire!

In order to place Shostakovich's piccolo-scoring in a wider historical context, I will begin the project by briefly exploring the two centuries of composition prior to him, detailing the most common functions of the piccolo employed throughout that period, both in Europe and the Soviet Union. I will consider how and why the instrument was used, all the way from its timid orchestral debuts right up to Shostakovich's bold and passionate scoring for the instrument over two centuries later, including supporting examples from a selection of composers and works. Rather than purely focussing on the composer and period in question, I feel this wider exploration of the piccolo's historical development in the orchestra makes for a more substantial and interesting investigation and will help the reader more fully appreciate the daring risks Shostakovich was to take in his extraordinary and innovative approach to the instrument. I will then focus on Shostakovich's use of the piccolo, detailing not only the multitude of roles and functions to be found throughout the symphonies but exploring the various technical challenges posed by these works.

The project will then shift to an exploration of twentieth century Soviet history to help put these observations in context. I will explore how the political milieu and Stalinist regime, in which the Soviet composer was writing, affected his life and music by placing each symphony in historical and political context. I will then proceed to analyse material from the symphonies in question, exploring the various functions and roles of the piccolo employed and citing extracts from both the piccolo parts and full orchestral scores to support my ideas.

My research and gathering of information for this project has been from a wide selection of sources, including my own participation in performances of a selection of the works, extensive preparation of many other symphonic extracts for audition purposes as well as investigation through books, articles and documentaries on the subject. The audio recordings of Professor Greenberg's collection of lectures entitled *Shostakovich - His Life and Music*, based on Shostakovich's memoirs *Testimony* by Solomon Volkov, have also been a great source of inspiration and material. The lecture course, as part of *The Teaching Company* series, is separated into nine lectures and is of audio format. When quoting Greenberg, I use the number of lecture in which the quote appeared and any other person he quoted or source he referred to.

In order to broaden my research and not approach this project too personally and narrowly, I also carried out interviews with two professional symphonic piccolo-players, Kenneth Wihlborg, retired solo piccolo of *Gothenburg Symphony Orchestra* and his successor Tina Ljungkvist. I found this direct contact with two greatly experienced piccolo-players to be one of the most valuable forms of investigation here. Our discussions were driven by my curiosity to know if they shared my mixed feelings of excitement and apprehension at tackling this set of parts. I wanted to know if, even after a long orchestral career, they were still daunted by moments of these symphonies and how they went about solving the problems and challenges presented. I was curious to discuss how they mentally and physically prepared for the practice and performance of these works and how they approached the huge variety of roles and functions demanded of them. Both interviewees agreed to being quoted where necessary in my project and although the interview recordings are not attached as audio files, can be provided upon request.

My principal purpose with this master's thesis is to understand more about Shostakovich's life and the period of world history in which he was composing in order to better appreciate and interpret his music. Through my practice and analysis of piccolo material from the selected symphonies, my goal is to become a better prepared musician in confronting these technical challenges in both audition context and professional orchestral life. By learning to interpret Shostakovich's musical language and developing a clear system of categorisation of piccolo functions in these symphonic works, my wish and aim is to become an expert at identifying the specific role required of us at any given moment and, and with the technical and musical skills developed through practice, be able to adjust accordingly. I believe this will allow me to give the most efficient and musically sincere interpretation I can of his music.

II. HISTORY AND DEVELOPMENT OF THE PICCOLO IN THE ORCHESTRA

As early as 1700, a basic six-holed fife-like instrument, which gradually developed over the centuries into what is now known as the piccolo flute, appeared in the orchestra with a handful of piccolo parts in works by composers including J.S.Bach, Handel and Mozart.⁷ However, incredibly it was not until almost two hundred years after the instrument's initial emergence that composers started daring to give the piccolo any substantial musical responsibility or expressive, solistic type material. Throughout the eighteenth and nineteenth centuries, the piccolo was generally used repetitively and predictably within a very restricted musical framework, rarely demonstrating anything more than the basic auxiliary functions and roles as detailed below:

- **MILITARY / MARCHING BAND**

Here the piccolo was used to depict or lighten a military or marching band theme. Due to the instrument's historical association with the military band, it was a very effective choice of instrumentation to immediately create the impression and atmosphere of a procession or march.

- **COMEDY**

Here the piccolo functioned as the musical joker by depicting or enhancing a comical figure or atmosphere. This commonly assigned role was perhaps due to both the piccolo's tiny size and its reputation historically as a court jester instrument, associations which again allowed the piccolo to be very effective and immediate in creating the desired jovial and light-hearted spirit.

- **SPECIAL EFFECT**

Here the piccolo was used to create a special effect, usually either nature-inspired or of theatrical motivation. These moments were usually of low quality musical content, the instrument purely being employed to produce the desired (and often ugly!) sound effect.

- **EXTENSION OF THE FLUTE**

Here the piccolo was used as a way of extending the flute's range. The material was often of such

⁷ Works by these composers including piccolo are Handel's opera *Rinaldo* (1711), J.S.Bach's *Cantata Nr.103* (1725) and Mozart's *German Dances K. 104* and *Overture to The Abduction from the Seraglio* (1782)

that the piccolo was used purely in an auxiliary and subservient manner, only employed for the pitches or range composers and players were unable to reach on the flute. For the piccolo-player, this often meant performing uncomfortably incomplete phrases or brief phrase insertions, void of real meaning or consequence due to their fill-in type nature. Usually in these instances, as soon as the material became within range again, composers would take a sigh of relief and pass it back to the flute where they felt much more comfortable!

- **SPARKLE, BRIGHTNESS, LIGHTNESS**

Here the piccolo's extremely bright and vibrant tone, in comparison to most other instruments of the day, was exploited to lighten the overall sound and bring an unrivalled brilliance and sparkle to the stage. This was sometimes in the form of a light and jovial solo line but more often either doubling other instruments or riding on top of the tutti orchestral texture as a method of lightening and brightening the overall sound.

- **NATURE / PASTORAL EFFECT**

Here the piccolo was used with reference to nature, composers directly exploiting the simple wooden quality of instrument's timbre to typically impersonate a shepherd's flute or a bird. This role started to develop later in the nineteenth century and, although more solistic and freer in nature, was not much more than an impersonation/imitation of nature with limited freedom of expression or sound production.

To see these early elementary roles of the piccolo in play, let us now consider a selection of composers and works from the two hundred year period between which the piccolo first appeared in the orchestra and Shostakovich began scoring for the instrument. Through these examples we will see how these various composers used the instrument and thus contributed to its development and direction.

BEETHOVEN (1770-1827) : Introduction to the Symphony

Beethoven was the first composer in history to include a piccolo in a symphony, scoring the instrument in *Symphonies No. 5, No. 6* and *No. 9*, composed between the years 1804 and 1824. Although this certainly served as exposure for the instrument, in all three works the piccolo is tacet for almost the entire symphony, only joining for the *Finale* movements. The renowned solo of *Symphony No. 5*, beginning with an upbeat to bar 699 to bar 723, combines a simple ascending arpeggiated melody, a step-wise descent, a virtuosic, off-beat staccato ascending scale and a long vocal trill. (Example 1) Although notable and rather proud in spirit as the first ever symphonic piccolo solo, it is quite obviously Beethoven's first test run of the instrument in symphonic context. The solo is quite simple and timid in nature, the arpeggiated melodic line and descending phrase both always maintaining unison with either winds or strings, never completely alone. Although the piccolo's four rapid off-beat ascending scales are more clearly exposed solo material, in context the effect is not much more than a subtle glittering and lightening effect of the forte tutti orchestra theme. The six-bar trill at bar 711 is also an ambiguous part of the instrument's symphonic debut because, although solistic in character, it mainly functions as an accompaniment to the arpeggiated violin melody and is actually considerably less marked and noticeable than the flutes' simultaneous accompanying decorative off-beat figures. In brief, *Symphony No. 5* was certainly a step that brought the piccolo to light in the symphony orchestra but in terms of scoring was an extremely modest and brief exploration of the piccolo's qualities.

In *Symphony No. 6* of 1808, Beethoven's use of the piccolo is purely for special effect, almost void of musical content. After an almost entire symphony tacet, the piccolo-player joins for just 38 bars of the final *Allegro "Storm"* movement, where the brief piercing shrill tone of the third-octave G-flat to G-natural phrase in bar 93 to 95 is practically the only audible moment in the part, the other long sustained notes before and after this moment perhaps just serving slightly to subtly brighten the tutti harmonic progressions. (Example 2) Although brief, this splash of piccolo colour did successfully introduce the instrument's highest range to the orchestral stage in a rather dramatic and memorable manner, serving as a whistling, wild storm-type effect above an otherwise regular classically textured orchestra.

Symphony No. 9, completed in 1824, shows Beethoven's most extensive and innovative scoring for

piccolo. However the only really notable moment for the piccolo in solistic terms is still very much in keeping with the traditional marching band role of the instrument. The piccolo's material here is not a solo per se but its presence very attractively and obviously colours and brightens the orchestration and immediately helps create the scene of a rustic Medieval-like band procession. The *Allegro assai vivace alla Marcia* opens with a quirky twelve-bar off-beat introduction from bassoon, contrabassoon, gran casa, horn and clarinet. The piccolo, oboe, clarinet and horn then enter in simple harmony over the marching motor as the orchestral forces gradually expand. With the piccolo scored for in the middle register at a pianissimo dynamic, the warm, wooden tone of the small flute is perfect for evoking the timbre and atmosphere of a rustic village band. After the initial eight-bar exposition of the march theme, the piccolo jumps up an octave for the second rendition of the melody, all other instruments remaining in the original octave. This change in the piccolo's register serves to brighten the timbre of the "band" and helps the passage in its gradual crescendo up to forte, giving the clear audio impression and effect of a faint, distant marching band approaching. (Example 3)

ROSSINI (1792-1868)

Beethoven's contemporary Rossini employed the piccolo extensively throughout many of his overtures and operas, so much so in fact that he left behind him a rather substantial selection of renowned tricky audition test pieces for the aspiring piccolo-player. Although his writing for the piccolo is much more confident, exposed and solistic than that of Beethoven, Rossini's use of the instrument was also conventional in terms of role and almost always fell into the comedy category, using the piccolo's jester-like reputation and qualities to prepare the audience for his comic operas and the entertaining characters therein. Examples of this brilliant jokey material for the piccolo can be seen in the jovial soli from overtures such as *Semiramide* (Example 4)

Following the serious and dramatic snare drum roll in the *Maestoso marziale* opening of the overture to *The Thieving Magpie*, the distinct and vibrant tone of the piccolo serves to add a sparkling brilliance and air of sarcasm to what would otherwise be a rather dry, serious and perhaps too realistic military march. (Example 5) The *Allegro vivace* galloping theme that is present for almost the entire *William Tell Overture*, falls into a similar category, the piccolo here in unison with the strings, serving to lighten an otherwise predominantly heavy and masculine gallop!

BERLIOZ (1803-1869) and BIZET (1838-1875)

The two French composers Berlioz and Bizet wrote quite substantially for the piccolo but considering it was several decades later, still rather conservatively. Interestingly, two of the most prominent moments in both their writing for the instrument are not in the form of piccolo soli but piccolo duos. This doubling was of course a way of calling more attention to the instrument and in that respect it was successful exposure. In 1846 Berlioz scored two piccolos in the light-hearted and comical *Menuet des Follets* movement in his epic work *Damnation of Faust*. (Example 6) Although the piccolo pair undeniably takes the spotlight for the entire *Moderato-Presto e leggiero* movement, the material remains very conventional and of a purely light-hearted and entertaining nature. Almost thirty years later in 1875, Bizet similarly scored two piccolos in the famous march in Act I, No. 3 of his opera *Carmen*, a charming and simple ornamented march theme, beginning in a triple piano dynamic and growing steadily to forte. (Example 7) The similarity here in terms of musical role to Beethoven's *Symphony No. 9* march, written fifty years earlier, is striking, both composers employing the piccolo to lead a light-hearted impression of a distant marching band approaching.

Amazingly, it was not really until as late as the end of the nineteenth century that composers finally began to explore a wider spectrum of the piccolo's capacity. Although reaching this point of expansion had been slow, once it started rolling, the transition happened fast and the piccolo suddenly appeared in many keys works with substantial, solistic material.

TCHAIKOVSKY (1840-1893)

One of these featured moments is Tchaikovsky's flamboyant and virtuosic scoring of the piccolo in the third movement of his *Symphony No. 4* (1878) This solo could perhaps be seen as a catalyst in this new virtuosic and expressive direction. The piccolo enters boldly after two movements of tacet with a dazzling figure in the top register, progressing to the sparkingly fast and virtuosic staccato passage some bars later. (Example 8) The solo is of such significance and effect to both player and audience that there is clearly no doubt here about Tchaikovsky's conviction in giving key musical material and responsibility to the piccolo!

GUSTAV MAHLER (1860-1911)

Just a decade later Gustav Mahler composed a monumental piccolo cadenza in the fifth movement of his *Symphony No. 2 “Resurrection”*, completed in 1894. (Example 9) As the full force of the tutti orchestra subsides, off-stage trumpets and horns set a truly grand and regal scene. A solo piccolo then begins a heart-stoppingly delicate and expressive cadenza, opening with a stream of ornamented pianissimo C-sharps (incidentally the weakest note on the instrument). The piccolo begins the passage totally alone with the exception of a distant rumbling pianissimo roll in the timpani which goes almost unnoticed. It’s a hair-raisingly fragile moment in the piece, having suddenly down-sized from tutti orchestra and grandiose brass fanfares, and Mahler’s indication “*Wie eine Vogelstimme*” (“*like bird song*”) additionally shows his intention to express delicacy and innocence in a sort of tribute to nature. This cadenza can surely be seen as another pivotal moment in orchestral scoring for the piccolo in that it was a clear step towards giving the instrument musical independence from its previously limited functions and existence as a mere auxiliary member of the flute section. Mahler not only achieves this by choosing the piccolo as an equal, if not leading, improvisatory voice in this cadenza passage shared between first flute and piccolo, but also by taking the liberty to more fully explore the instrument’s delicate and expressive nature rarely explored before.

MAURICE RAVEL (1875-1937)

Maurice Ravel was one of the other rare composers preceding Shostakovich who dared to write for the piccolo in an independent and expressive manner. His work *Daphnis and Chloe* (1912) includes several beautiful and lyrical passages for piccolo, very distinctive from those scored for the flute. Although both instruments have coinciding emblematic bird-like themes, as seen in the solistic and decorative material beginning five bars before Figure 157 (Example 10), the parts are refreshingly independent of each other. The piccolo’s beautiful shepherd-like panpipe melody at Figure 159 (Example 10) successfully breaks up the long section of subservient murmuring woodwinds and is a clear example of this individuality and new solistic direction for the instrument. Ravel perhaps decided to score the solo for piccolo rather than flute due to the wooden timbre of the piccolo lending itself better to the pastoral setting and mood he wanted to create. Originally marked “*sur la scène*” (“*on-stage*”) the shepherd’s call was even originally intended to be played on-stage as a visual, as well as audio, part of the ballet’s action and story.

In *Rapsodie Espagnol*, an early work completed in 1908, we see some clear examples of the piccolo's more subservient function that Ravel also employed, principally serving as an extension of the flute and woodwinds. One good example of this function is around Figure 14 where the piccolo fills the peak of a huge musical woodwind arch. Beginning with the deep cor anglais solo at Figure 13, the wind material starts rising, passing to clarinet and then the flute until the piccolo seamlessly takes over the flute's third-octave D one bar before Figure 14 and whistles up a scale-like passage to a triple piano third-octave A. After just two bars of an eighth-note chromatically descending scale, the piccolo passes the line back to the flute, then clarinet and finally bass clarinet. (Example 12) Although this arch was obviously the desired effect and all instruments here serve a part of this shape, the fiendishly hard and rather detached peak of the arch in the piccolo's notoriously challenging top register at triple piano dynamic, leaves the player facing a demanding technical challenge at a key moment while clearly only fulfilling a functional role.

Two works by Ravel that call the piccolo to great attention in a totally different manner are the third movement of his orchestrated *Mother Goose Suite : Laideronnette, Impératrice des Pagodes* (1911) and the opening of the *Piano Concerto in G-major*, completed twenty years later in 1931. Here we see a composer giving the piccolo substantial solistic material and responsibility in rarely explored territory. Both pieces open with prominent piccolo solos in the seldom scored weaker middle to low register of the instrument. In the opening of the piano concerto, following an astonishing and charismatic crack of a whip from the percussion section, it is not the concerto soloist that launches into prominent and spirited solo material but the piccolo! This surprising and unusual role reversal, with the piano soloist amazingly playing accompanying arpeggio figures to a low register piccolo, was quite a special statement and certainly an approval of the piccolo's strength in character. (Example 11)

RIMSKY-KORSAKOV (1844-1908) and IGOR STRAVINSKY (1882-1971)

Two of the nineteenth to twentieth century composers I consider to be the most consequential predecessors of Shostakovich in terms of piccolo-scoring are the two Soviet Union composers Rimsky-Korsakov and Stravinsky. Rimsky-Korsakov's works such as *Capriccio Español* (1887) and *Scheherazade* (1888) and Stravinsky's *Firebird* (1910), *Petrushka* (1911) and *Rite of Spring* (1913) all gave the piccolo great prominence and fresh character roles rarely experienced before.

The piccolo had by now way surpassed the limited stereotypical functional roles we have previously explored of military marches, comedy, special effect, extension of the flute/woodwinds and added tonal brilliance, and was even expanding beyond the pastoral, improvisatory, bird-like roles we were seeing in both Mahler and Ravel's music. The *Rite of Spring* features several piccolo duo moments that are in no way similar to the neat and predictable musical material entrusted to the two piccolos in the music of Berlioz and Bizet. Here the duo is a complex, weaving continuation of two independent parts. The use of two piccolos here is certainly not to create pleasing harmonies and a charming sense of unity as seen earlier, but is employed by Stravinsky as a means of getting more out of the instrument both in terms of continuity of line and volume. Passages that would simply be impossible to construct for one player were therefore divided between two players. An example of one of these sparkling moments can be seen in *L'Adoration de la Terre* where complicated short bursts in each piccolo part, beginning three bars after Figure 10, ruggedly interact and pass between players, making a complex and chaotic sounding patchwork of G-sharp to D-sharp leaps, impossible for one player to achieve. (Example 13) *Danses des Adolescentes* features a spot, beginning three bars before Figure 17, where the two piccolos overlap creating a playful yet powerful and seamless seven-bar phrase. (Example 14) Similarly the abrupt subito *Vivo* section at figure 54 of *Rondes Printanieres*, where two players overlap at lightening speed with a bizarre seventh interval figure in the opposite direction, is an impressive and complex canvas of sound impossible to create with one piccolo. (Example 15) The first piccolo then takes the spotlight through the entire *Glorification de L'élue*, providing a solistic sharp ripping edge and definition to the three unison flutes' ascending sweeps, a role and colour that certainly pointed in the direction in which Shostakovich was to take the piccolo.

This brief history of the piccolo and its repertoire is not to say there were not other composers who contributed to the instrument's development and helped pave the way for Shostakovich's ingenious scoring of the piccolo. Debussy, Strauss, Verdi as well as Shostakovich's contemporaries Bartók, Britten and Khachaturian are some other notable composers who wrote with a progressive and innovative attitude towards the piccolo. However, as we have seen, the average piccolo scoring during the first two centuries of the instrument's orchestral life was very limited, repetitive and conservative. Having explored these confined roles and slow development, it should now be easier for us to more fully appreciate the level of expression and significance that Shostakovich fearlessly designated to the piccolo with an unprecedented depth, trust, affinity and passion.

III. DIMITRI SHOSTAKOVICH (1906-1975)

An Introduction to his use of the piccolo

Of all the instruments scored in the symphonies, the piccolo is undeniably a key element in Shostakovich's unique orchestral sound and its significant presence in tutti and solo passages plays a major role in the definition of the orchestral tapestry.⁸

As Dr Clorinda Panebianco-Warrens illustrates here and in many other comments throughout her enlightening article *The Piccolo in the Fifteen Symphonies of Dimitri Shostakovich*, the presence of the piccolo in the symphonic works is of enormous significance. It is an instrument Shostakovich not only chose to use with much frequency, but one to whom he consistently gave some of the most prominent musical themes and soli. Shostakovich thoroughly and confidently explored the full potential and range of the piccolo, stretching the boundaries of both player and instrument as never before and seldom since. The material and demands placed upon the player were never predictable as had often been the case during the piccolo's first century of life in the orchestra. We see Shostakovich fully exploring the instrument from its warm, wooden and mysterious tone of the low register right up to its highest piercing extremes. We see the piccolo used in such a creative and fresh manner that it takes on a totally unique identity, instrumental sonority and character, very distinct from both the flute and the piccolo as previously known. Shostakovich transforms the piccolo not just into an unusually versatile, auxiliary instrument but an autonomous voice and strong personality of the orchestra.

The works demand of the player every kind of playing and expression, ranging from very exposed, hair-raisingly still, transparent, pianissimo sustained tones and lyrical soli passages right up to aggressive, fortissimo, hysterically fast and loud passages in the shrill third-octave register where the piccolo no longer holds an individual identity but serves to contain the otherwise explosive force of the tutti orchestra. During the interviews with *Gothenburg Symphony Orchestra* piccolo-players Kenneth Wilhborg and Tina Ljungkvist, I explored and questioned how this huge responsibility and extreme variety of role and technical demand feels to experienced professional piccolo-players. In his response, Wihlborg described Shostakovich's symphonies as containing

⁸Panebianco-Warren, *The Piccolo in the Fifteen Symphonies of Dimitri Shostakovich*, 1

‘both extremes and everything in between’. He then elaborated on this extremity in more detail saying:

That’s why it [Shostakovich’s music] is so exciting and frightening... It includes everything, absolutely everything, from the sweetest honey cantilenas to the roughest burlesques in character... from ice cold to burning inferno”⁹

At the outset of our discussion, Ljungkvist clearly expressed the keystone position she believes these works to hold in both piccolo- playing and instrumental development:

It [Shostakovich’s writing] teaches you so much about the instrument that you didn’t know before. Imagine a world where you have never come across the Shostakovich solos. Then you would play the piccolo itself in a totally different way. It really changes the whole idea of piccolo, how to play the piccolo, and it challenges you to find other ways to know the instrument, to be able to play those places.¹⁰

From my own experience of having performed piccolo in *Symphonies No. 4, No. 5* and *No. 10*, I am very much in agreement with both these opinions and impressions. The parts are of such an unpredictable and challenging nature that they force you to almost re-invent your instrument and playing! You are constantly pushed to discover tricks and methods in order to overcome some of the almost unplayable material and to achieve the such opposing characters Shostakovich demanded of us. Throughout the symphonies, there is no escape from relentless technical demand but, if taken in the right spirit, the challenges can serve as a huge inspiration and motivation to improve one’s musicianship. In Ljungkvist’s words:

If there was no Shostakovich, we would be much worse piccolo players... there are no places that you can even compare with the Shostakovich symphonies...it’s for these symphonies that we have to have these good instruments, it’s really for *these* symphonies that we practice!”¹¹

Before exploring the material in analytical detail, let us first catalogue the technical challenges faced by piccolo-players in the practice and performance of the Shostakovich symphonies. I feel this will give the reader, especially non piccolo-players, a clearer and more detailed idea of the difficulties we face.

⁹ Extract from an interview I held with Kenneth Wihlborg, September 2015, Gothenburg

¹⁰ Ljungkvist, interview

¹¹ Ljungkvist, interview

IV. TECHNICAL CHALLENGES FOR THE PICCOLO-PLAYER IN THE SHOSTAKOVICH SYMPHONIES

- **KNOWLEDGE OF THE INSTRUMENT**

First and foremost we must be intimately well-acquainted with our instruments to achieve success with these parts. By this I mean we must know our instrument so extremely well that we know, or at least can work out, how to make impossible things possible! Throughout the symphonies there are several treacherous soli and tutti passages ‘whose difficulties are as such that perfection cannot be guaranteed even when practiced at home.’¹² These moments call for a kind of playing way beyond the comfort zone of normal or traditional piccolo-playing.

- **DISTINGUISHING ROLE / ACCESSING RELEVANT TECHNIQUE**

Secondly we must learn to sensitively identify the intended function and immediately employ the necessary way of playing to fulfil this role. This is definitely an art in itself, role changes often needing to take place extremely fast and imperceptibly. The player must therefore feel totally at home with a wide selection and variety of tools and techniques and have them on standby at all times.

- **MENTAL AND PHYSICAL STAMINA**

To succeed in the practice and performance of these symphonic works, players must develop a very solid stamina in both the mental and physical realms. Quick and relentless changing of roles can be extremely tiring so a relaxed yet sharp mental concentration throughout is essential. Physically the symphonies also require great stamina, especially in terms of sound production in certain passages where it is exhausting to produce such tones at such length.

- **BREATH CAPACITY / CONTROL**

The player must develop a huge breath capacity and control of airstream in order to survive many of the long, exhausting and ferocious passages in the highest extremes of the instrument. To succeed one must find more effective and faster methods of inhalation as well as a smarter more economical use of air than is customary. In a different way, several lengthy seamless soli in the

¹² Panebianco-Warren, *The Piccolo in the Fifteen Symphonies of Dimitri Shostakovich*, 3

middle and lower registers also call for great breath control but this time in order not to break the atmosphere and tension of a phrase that pausing for a breath could so easily destroy.

- **FINGER SPEED AND FINGER DEXTERITY**

Many fast passages throughout the symphonies require great speed and fluidity of finger technique, especially challenging in the highest extremes of the piccolo due to the nature of the more complicated fingerings instrumentally. Several passages are composed at such a daunting tempo (M.M. 176 for example in the second movement of *Symphony No. 10*) that there is no choice but to utilise alternative “trick” fingerings to solve otherwise impossible progressions. By alternative “trick” fingerings I mean fingerings that achieve the desired pitch with an easier combination of fingers, facilitating a rapid passage. These are most often notes based on the harmonic series when one fingers a lower (and thus easier fingering) pitch but overblows the note to achieve the desired higher (and more difficult fingering) pitch. Another form of “trick” fingering is to use the one-finger-operated trill keys instead of fully fingering out a complicated interval. Although the intonation and tone is not as desirable with the trill keys, at Shostakovich’s ferocious tempi, it is often by far the best way to execute the passage. To add to the degree of challenge, the tonality employed in these passages is often rather unusual, not quite fitting into a major, minor, chromatic, whole-tone or modal model with which we are more familiar and automatic technically, thus throwing surprises in our path. We therefore cannot rely purely on scale muscle memory but must tackle each passage on an individual basis. Other moments particularly require a light and dexterous touch to give passage work the desired evenness and gentleness, also a challenge to achieve at such tempi.

- **TRICKY INTONATION**

Intonation is a constant challenge throughout the symphonies especially considering that Shostakovich often scores the piccolo in a way that leads to inevitably wild intonation such as the frequent third octave fortissimo unisons (especially with another piccolo!) To add further pressure to this, the piccolo with its such powerful, direct and audible timbre gives absolutely no leeway or margin of forgiveness for discrepancies in intonation.

- **FINE EMBOUCHURE CONTROL**

Extremely fine control of the instrument is required in many areas of playing but perhaps

especially for the totally lone pianissimo morendo phrases and movement endings, where any deviation in intonation, dynamic, vibrato (or in fact nerves!!) is immediately apparent.

- **TONAL BLENDS**

Shostakovich writes for the piccolo using a huge spectrum of colours and tonal blends. He was the master of making the piccolo sound like another instrument and it is our challenge here to identify these moments and produce sound accordingly. One achieves this by developing a rich and versatile palette of colours, embracing opposite ends of the tonal spectrum in contrasts such as compact sounds and hollow sounds, piercing sounds and soothing sounds, sweet sounds and bitter sounds, vibrant sounds and still sounds.

- **INTERVAL FLEXIBILITY**

The piccolo-player is required to have a great level of flexibility in interval playing, Shostakovich freely jumping around the instrumental range with little consideration for the technical difficulties presented. This means one must develop a relaxed internal mechanism for helping us reach the required range of pitches as well as a fine-tuned embouchure for all registers.

- **COUNTERACT INSTRUMENTAL TENDENCIES**

Shostakovich often writes in a way that goes against the very nature of the instrument and, in order to achieve his musical goal, we must fight against the natural tendencies of the piccolo. An example of this is the necessity to develop a bigger and richer sound in the renowned weak and hollow lower register where he frequently scores expressive solistic material.

- **VARIETY OF ARTICULATION**

Shostakovich demands of us a huge variety of articulation, ranging from inaudible note-beginnings, where the challenge is to merge in without a noticeable start, to fortissimo, accented, aggressive blows of the tongue where the challenge is to articulate at a loud enough dynamic with the required level of aggression without splitting notes or losing tone quality or substance.

If one takes full responsibility for this substantial set of technical challenges in the Shostakovich symphony piccolo parts, it becomes a very intense and creative musical process. Apart from the necessary mastering of techniques, these are some of the rarer moments in the orchestral repertoire

where the piccolo truly has an autonomous role to play. Although one still often works closely with the flute, the nature and variety of the musical material assigned to the piccolo, leaves one feeling much less dependent upon the flute section than is customary, the piccolo feeling almost like its own separate section.

As we will see in his clever tonal blends and choice of piccolo for the most unimaginable soli, Shostakovich was extremely gifted at writing for the piccolo as if it truly were another instrument. Almost too optimistic about weaknesses or inadequacies in the instrument's capabilities, his scoring for piccolo is extremely unpredictable and all-inclusive to the point where you often almost have the physical sensation that you are playing another instrument! Especially in my performance of *Symphony No. 5*, I experienced the strong impression of being a member of several different sections of the orchestra. This is a fun and rare experience that, from your piccolo chair in the flute section, you can feel like a totally free and independent voice and also get to be a temporary member of the brass, percussion and string sections! Shostakovich writes in such a way that one moment you are an expressive solo piccolo, the next minute you are an aggressive member of the percussion section, then you are just a shimmering colour over the muted violins, then you are back in the flute section to seamlessly join the flute's line and then you help define and outline the tutti orchestra in an epic fanfare or march. It becomes so fun and satisfying if you start to think in this way! It is of course a huge challenge and a lot of hard work technically to achieve these stark contrasts in role and function but it gives the player the great sense of fulfilment that Ljungkvist described in our discussion.

It is satisfying to find your right function and what you should be doing in each moment.¹³

This huge variety of musical role means playing piccolo in the Shostakovich symphonies is in no way a passive process or an easy ride but a constantly shifting and questioning musical journey. To deliver a worthwhile result it is not sufficient to just play the notes. One must not only think, feel, listen and get oneself in tune with the musical material on an emotional level, but constantly ask oneself questions about one's function and make adjustments accordingly of how to interpret the material and play one's instrument. Helpful questions in this creative process I have found to include:

¹³ Ljungkvist, interview

- What is my function or role in this moment?
- Do I need to employ extra or unusual methods or techniques to achieve that and if so, what and how?
- Am I the principal voice or a supporting sound?
- How audible should I be?
- Am I just a colour or should I be present in the overall result?
- What percentage of the tonal blend am I?
- Which section of the orchestra do I belong to here?
- Why has Shostakovich chosen the piccolo rather than another instrument here?
- What does he want to express here through the piccolo?

Although this may sound like an exhausting and tedious process of constantly figuring out who you are and what your function is, Shostakovich wrote so well and in such a clear and understanding manner for the piccolo that it is always relatively easy to figure out one's role as long as you are asking yourself the right questions. The next step is then to clearly categorise these functions and roles in order to help oneself make the necessary artistic and technical decisions.

V. SUPPORTIVE FUNCTIONS AND AUXILIARY ROLES OF THE PICCOLO IN THE SHOSTAKOVICH SYMPHONIES

Unlike the common auxiliary uses of the piccolo throughout the eighteenth and nineteenth centuries which we explored earlier, ‘the piccolo is an integral part in Shostakovich’s realisation of the symphonies.. Its voice is heard.. It is treated with respect and given ample opportunity...’¹⁴ Unlike earlier composers, Shostakovich maximised the potential of the instrument by assigning it a huge diversity of roles. Let us first explore these freer and more expansive auxiliary functions of the piccolo as employed by Shostakovich.

- **TUTTI CONTAINMENT**

Here the piccolo is employed as a tool to define and/or contain an otherwise overwhelming and potentially blurry result of a massive fortissimo tutti force. Unlike the piccolo’s bright sparkly edge employed by earlier composers, the definition is now of blade-like quality, helping to create a ‘biting, acid-etched orchestration’¹⁵ In these moments the piccolo is written for in the extreme top register where the instrument’s shrill and piercing quality effectively cuts through or outlines the whole orchestra, giving a sharp edge and definition to the immense quantity of sound.

- **CONTINUATION OF THE FLUTE**

Here the piccolo is used in its lower and middle registers as a method of extension or continuation of the flute’s higher register, the splitting between two instruments providing a seamless flow of line with a much wider range of melodic possibilities. The difference between the flute extension role of the previous centuries and the one we find in Shostakovich’s writing is that the piccolo was not used in a purely auxiliary and subservient manner, the sharing out of material often being more generous towards the piccolo than the flute. In fact there are even many instances of traditional role reversal where it appears that the flute is serving the piccolo in extending its lower register!

¹⁴Panebiano-Warren, *The Piccolo in the Fifteen Symphonies of Dimitri Shostakovich*, 10

¹⁵ Panebiano-Warren, *The Piccolo in the Fifteen Symphonies of Dimitri Shostakovich*, 4. Here she quotes Blokker and Darling, *The Music of Dimitri Shostakovich : The Symphonies*, 1979:99

- **INAUDIBLE COLOUR EFFECT**

Here the goal (and challenge!) is to be present but inaudible and unidentifiable as an individual instrument or voice. The piccolo is only employed to alter the colour or timbre of another principal instrument or group of instruments and must not interfere in the resulting sound by having its own identifiable tone.

- **SEMI AUDIBLE COLOUR EFFECT**

Here the piccolo is still principally a colour effect although now of more significance in the balance of sound and overall result. The piccolo must be more present and active in its contribution of sound but still indistinguishable as an individual voice.

- **TIMBRE CONTRIBUTION**

Here the piccolo is a valid and present contribution of the group sound. The piccolo should be more audible than just a colour but only as an equal component of the whole which is a sound made up of various instruments.

- **HALF TIMBRE**

Here the piccolo contributes exactly half the timbre and must therefore be audible but still imperceptibly as an individual voice. The result should be an indistinguishable, inseparable fusion or blend of two instrumental timbres and colours as one voice or entity.

VI. SOLO ROLES OF THE PICCOLO IN THE SHOSTAKOVICH SYMPHONIES

Now we arrive at the solistic category where the piccolo is the principal solo line and timbre, unaltered by other instruments. Due to the solistic nature of the material, there is less need for the astute awareness and consideration of fusion and blending as we saw earlier in some of the other “colour effect” or “timbre contribution” functions, allowing the piccolo-player to delve deeper into the more creative areas of interpretation and musicality that Shostakovich opened up for the player. The variety of solo piccolo material is impressive and Shostakovich surely provides ‘an ample platform for exploiting the exhibitionist qualities of the instrument and its player’.¹⁶ His writing is of such a quality that it implies he had ‘particular insight into the idiomatic characteristics and idiosyncrasies of the instrument’.¹⁷ Let us explore how Shostakovich utilised this myriad of personalities through his innovative solo scoring.

- **COMEDY / CIRCUS**

Here the piccolo is used in a witty and humorous manner quite distinct from the comedy role employed by earlier composers. Here the jester/joke-like quality of the piccolo was often used not just for the entertainment factor but as a tool to relieve the tension and seriousness of the harsh political environment. The piccolo provided a temporary respite from a heavy texture or tragic theme, almost like a form of escapism. In other moments the humour was of a deeply sarcastic, twisted type nature with a bitter tongue in cheek tone, perfect for ridiculing political figures of the time or mocking the party’s pompous circus parades and propaganda which Shostakovich loathed. The comedy here was not a natural humour but a forced kind of rejoicing, depicting the contrived sugar-coated ideology of the time.

- **MILITARY**

Here the piccolo is used for military effect but also in an extremely different manner to the simple military/marching band impersonations of the previous centuries. Often combined with a biting snare drum or a fragile procession that painstakingly grows into a march of epic

¹⁶ Panebiano-Warren, *The Piccolo in the Fifteen Symphonies of Dimitri Shostakovich*, 10

¹⁷ Panebiano-Warren, *The Piccolo in the Fifteen Symphonies of Dimitri Shostakovich*, 6

proportions, this solo material has much more sinister and evil military connotations than that used in the previous centuries, pointing at some of the political figures and forces that Shostakovich referred to as “enemies of humanity”.¹⁸

- **FRAGILITY**

Here the piccolo expresses loneliness, fragility and vulnerability. Usually written for in a soft dynamic and set against a sparse orchestral accompaniment, the piccolo, one of the smallest instruments of the orchestra, successfully depicts a fragile, nervous and fearful individual.

- **STRENGTH**

Here the piccolo fulfils its “mouse that roars” role. In these solo moments, the instrument is clearly symbolic of the tiny yet strong individual (soloist) against the power of the Communist party (orchestra), an outspoken lone voice amid the masses and against the repressive regime.

- **LYRICAL EXPRESSION - NOSTALGIC / SORROWFUL / MELANCHOLY**

Here the piccolo is entrusted with great depth of expression and feeling, often some of the most heart-breaking and tender themes of the symphonies. These soli are often passionate and hopeful in character yet with heavy overtones of suffering, sadness and nostalgia. They are often extremely direct in their expressive nature, making them almost like tragic songs without words.

¹⁸ Greenberg quotes Shostakovich from his memoirs, *Testimony, Shostakovich - His Life and Music*, lecture 1 *Let the Controversy Begin*

VII. THE PICCOLO DUO IN THE SHOSTAKOVICH SYMPHONIES

Two piccolos are not so commonly used in the Shostakovich symphonies, only appearing in *Symphonies No. 4, No. 8 and No. 10*. However when they do appear in doubled force, they are given extremely interesting and substantial musical material resulting in the following effects:

- **POTENCY INCREASE**

Here the main purpose of using two piccolos was simply to double the volume and amplify the qualities of the instrument, mainly exploiting the power and aggressive, piercing nature of the instrument. In these moments the piccolos are scored for in unison in the highest register, usually at a forte plus dynamic, resulting in a particularly powerful and shrill quality, even more capable of slicing through massive orchestral texture than just one piccolo. This was particularly effective when used for clashes and other such deliberate dissonance.

- **COMEDY / CARICATURE (by use of semi-tone and whole-tone clashes)**

Due to the quirky nature and historical association of the piccolo as discussed previously, the doubling of this particular instrument had an unbeatable comedy factor which Shostakovich exploited to great effect. In these charismatic moments, the piccolos are thrown together as a kind of comedy pair in crude and ugly semi-tone and whole-tone clashes, creating a biting dissonance and tone of stupidity that Shostakovich used for several effects including light relief, sarcasm and burlesque type mockery. Sometimes the humour seems to be of a truly light-hearted, comic manner and other times appears as a dark and sinister parody full of bitterness and hatred.

- **CONTINUITY OF LINE**

Here the use of the two instruments was on a purely functional level in order to achieve what was not possible with just one instrument. Lengthy lines, impossible on one piccolo (mainly due to breath capacity) were therefore divided between two instruments. In this role, the piccolos never sound at the same time (except for short necessary overlaps) and are intended to sound like one instrument playing an impressively continuous line.

VIII. HISTORICAL & POLITICAL CONTEXT OF THE SHOSTAKOVICH SYMPHONIES

Shostakovich was a man of his time and a voice of his time, a voice of his country.¹⁹

In this section, I will explore the period of Soviet history in which Shostakovich was composing. I aim to shed light on the unique musical language Shostakovich developed throughout his symphonies, works with which he successfully ‘portrayed the terror of his epoch.’²⁰ Although the emphasis of this project is not principally historical but musical, the historical context is of great relevance for the musical investigations. I have certainly not dug as deep or used the variety of sources a historian would have used, but I have tried to gather information from credible sources and remain as neutral as possible. It has proved a great challenge for me to remain totally objective and dispassionate while investigating such a disturbing period of history but I endeavour to present historical events as objectively as possible. The principal sources I have referred to for this section of the thesis include:

- Valery Gergiev’s *Shostakovich Against Stalin : The War Symphonies* film documentary, featuring interviews with many of Shostakovich’s family, friends and fellow composers as well as renowned Soviet historians and musicologists.
- Professor Robert Greenberg’s audio lecture series *Shostakovich - His Life and Music* based on the material of Solomon Volkov’s *Testimony : The Memoirs of Dimitri Shostakovich*
- Ian MacDonald, *The New Shostakovich*. 2nd edition.
- Solomon E. Volkov, *Testimony: The Memoirs of Dimitri Shostakovich*
- Ricardo Martinez, *Socialist Realism - What was it all about?* Widewalls online article
- KouqJ, *Socialist Realism versus Formalism in the Soviet Union*, KouqJ Versus Music online article
- Translation of *Pravda* article *Muddle instead of Music*

¹⁹ Valery Gergiev, film documentary *Shostakovich Against Stalin : The War Symphonies*, Valery Gergiev, Decca Music Group Limited, 2005 (film), 1996 (No. 8), 2003 (Nos. 4, 5, 6, 7, 9)

²⁰ Gergiev, *Shostakovich Against Stalin* documentary

- *Wikipedia* online encyclopedia- various pages for both information and further historical and musical references

In the revealing documentary *Shostakovich Against Stalin: The War Symphonies*, Russian musicologist Mariana Sabinina, a close contemporary of Shostakovich who attended many of the composer's premieres, clearly expresses how deeply and closely she feels his music reflected the harsh reality of the time.

Shostakovich embodied our epoch. He portrayed it's controversy and tragedy. Shostakovich's music reflected our life.²¹

Symphonies No. 4 to No. 10 were composed between the years 1935 and 1953, a period considered to be the most tragic period of Soviet history and one of the most oppressive and barbaric political regimes of modern history. Although the death toll differs widely from source to source, this was a period of Communist leadership under which Josef Stalin was responsible for the murder of up to an estimated 30 million people in his so-called "*Great Purge*", an attempt to exterminate anybody who opposed his political views or those of the Communist Party. These were years of unimaginable fear and injustice in which 'a whole population was being terrorised'²², a period in which artists, composers, painters and poets could be branded criminal overnight and imprisoned or killed if the Party did not approve of their work or suspected them of opposing the regime. Before exploring the deep influence this political environment had on Shostakovich and his writing, let us first briefly look back at the tumultuous beginning of the twentieth century to see how Stalin and his regime came into being.

In the early 1900s, the Russian Empire, as it was then known, saw a stream of riots, revolutions and military mutinies, mainly in the form of peasant and factory workers' strikes, demanding better wages and working conditions. 1905 marks the year of the first Russian Revolution when massive political and social unrest spread across much of the Empire. The tragic events of 22nd January 1905, a date remembered as *Bloody Sunday*, is considered to have started the revolution. On this day demonstrators took to the snowy streets of St. Petersburg in a procession to the Winter Palace

²¹ Mariana Sabinina *Shostakovich Against Stalin* documentary

²² Dimitri Tolstoy *Shostakovich Against Stalin* documentary

with the aim of appealing to their leader, Tsar Nicolas II, for improved living standards. No such results were achieved, the protest ending in bloodshed as the Tsar's troops opened fire on the approaching marching crowd. Even after such a tragedy as *Bloody Sunday*, the Tsar was slow to offer solutions to the political-social crisis and it was not until the October Manifesto later that year and the Russian Constitution the following year that some new outlines were finally made for the improvement of people's rights.

Shostakovich was born in 1906, precisely in the fresh aftermath of these major political events and shifts. It was a period in which the Empire saw a huge rise in political terrorism, the amount of strikes, protests and public demonstrations dropping dramatically as the number of civilian-targeted assassinations by political organisations increased. People were fearful and began to suppress their views but this deeply oppressed society reached a point where it could no longer contain itself, resulting in The Russian Revolution of 1917. As in the earlier revolution, the uprising began with street riots and workers' strikes but this time gained enormous momentum, the demonstrators finally demanding abolishment of the Tsar autocracy. This ultimately led to a military mutiny and indeed in 1917 the Russian Empire collapsed, Tsar Nicolas II was abdicated and the Soviet Union began to emerge. The old Tsarist regime was temporarily replaced by a provisional government. Predictably, in such a vulnerable moment, many political organisations were hungry for power, competing to steer Russia into her political future. A multi party war thus broke out, known as the Russian Civil War, which continued up until 1922. The two principal competing parties were the Red Army and the White Army. The Red Army, also known as the Bolsheviks, was a faction of Russian Social Democratic Labour Party and was founded by Vladimir Lenin. Although the White Army, supportive of an alternative form of socialism, was defeated in 1919 by the Bolsheviks, political aggression between the two parties continued well into 1923. Following Lenin's death in 1924, Josef Stalin was appointed leader of the Communist Party and the newly emerging Soviet Union.

Despite widespread chaos in the political milieu, the foundations of the Stalinist regime began to firmly and rapidly establish themselves. The Revolution and fall of the Russian Empire had naturally attracted world-wide attention and there was a hunger and demand for Soviet cultural news. Fear of the corruption of Western influence and opinion prompted the reduction of artistic freedom by the Party's laying out of guidelines on what they considered to be "acceptable" art. This early stage of controlling artistic output developed into the government using music as propaganda. Political figures began to see a strong potential in manipulating the social mode of thought and

society's political views through music and they thus formed a kind of artist-state-party relationship. This official communication and connection between leading artists and the government had a strong impact on composers such as Shostakovich. It was as if the destiny of music was becoming inseparable from that of the Communist Party. Compositions began to be seen by the government as opportunities for propaganda, works of art taking on a similar role to those of the political newspaper articles, honouring and glorifying Stalin and his political successes. Composers recognised the government's use of their art and began forming organisations to protect themselves and their work. The most notable organisation of this nature was The Association for Contemporary Music (ACM) founded in 1923. This association ran concert series to promote the performances of avant-garde music and also published magazines openly promoting the modernist works of composers such as Schoenberg. Shostakovich was a leading member of this association, the goal being for him and his fellow composers to officially and legally regain a portion of artistic freedom and authority in their work. The ACM was not surprisingly met with resistance from an opposing organisation, The Russian Association of Proletarian Musicians (RAPM), a group whose sole purpose was the exact opposite! They resisted avant-garde experimentation and, with their governmental connections, not surprisingly managed to surpass ACM in cultural influence by the end of the 1920s.

The Communist Party insisted that all creative output followed the principles of "Socialist Realism" which meant that all artistic output 'should serve to political and social ideals of communism.'²³ This was officially approved art that, in their opinion, could be easily enjoyed and understood by the proletarian masses and not just by the educated artist. A clear model of what was considered "acceptable" music was set out as being 'optimistic and supportive of the state whilst reflecting day-to-day life of the proletariat'²⁴. In order to fulfil the criteria the government insisted that all new music praise the Communist Party. It had to be joyous and heroic in character, a patriotic and nationalistic recognition of Russia, completely void of Western influence.

In reality for the composers of the era it was of course difficult to express optimism and support for a regime that was artistically restricting them and utilising their works for political propaganda. In practical terms the Socialist Realism framework that the Party provided for artists was not much

²³ Ricardo Martinez, *Socialist Realism - What was it all about?*, online WideWalls article <http://www.widewalls.ch/socialist-realism-art/>

²⁴ Greenberg, *Shostakovich - His Life and Music*, lecture 1

more than a fear-provoking censorship mechanism. Many artists, including Shostakovich, were accused of “Formalism” or writing music that was supposedly “against the people”. Such artists were considered betrayers of their homeland and were punished accordingly depending on the severity of the so-called “crime”. Formalism was considered to be an innovative and experimental approach to an unconventional form of art that defamiliarised common concepts and thereby gave the subject a new experience. This kind of artistic expression allowed the receiver the opportunity to perceive the world in a new way outside of convention and restriction. This approach naturally posed huge threat to the Communist Party and they used their ‘increasingly repressive artistic guidelines’²⁵ to protect themselves by limiting the potentially provocative nature of freely written music.

Composers then faced a huge dilemma, torn between the strong desire to be a free artist and the repression of a regime that demanded imprisonment or death to those who did not obey. In his documentary *Shostakovich Against Stalin*, Russian conductor Valery Gergiev explains the primitive way of thinking that composers of that era were forced to adopt in relation to their art in order to survive:

The reaction of the audience and the critics make no difference at all. There is only one question that matters. How does the leader like your work? And the answer could mean life or death.’²⁶

During the years 1936-1938 several friends and members of Shostakovich’s family were exiled, imprisoned or killed for so-called “crimes” or acts of betrayal through Stalin’s *Great Purge*. Some of those dear or loved ones imprisoned and/or executed during these years include his patron Marshal Tukhachevsky, his mother-in law Sofiya Mikhaylovna Varzar, his close musicologist friend Nikolai Zhilyayev, his two close colleagues poet Boris Kornilov and dramaturge Adrian Piotrovsky and his physicist brother-in-law Vsevolod Frederiks who was released from imprisonment but died shortly after in 1944. The country was practically becoming a huge concentration camp and Shostakovich began realising, with great fear and anger, that there was no place for him and his true musical expression. Stalin did not like Shostakovich’s growing fame and success and, as more loved ones were disappearing around him, the strain and terror became unbearable as illustrated in the composer’s own words:

²⁵ Greenberg, *Shostakovich - His Life and Music*, lecture 1

²⁶ Gergiev, *Shostakovich Against Stalin* documentary

People I knew, to whom I was very close, were disappearing around me every day and it was clear that I had fallen into this bloody wheel.²⁷

However, perhaps even more disturbing for Shostakovich than the fear he felt for his own life, was the widespread silenced fear, suppression and passivity he witnessed infecting the society around him. In Valery Gergiev's words:

A war was being waged against the Soviet people and yet the fear he [Stalin] created in society, paralysed the people to resist'.²⁸

This paralysis enraged free-thinkers like Shostakovich. He felt angry at those who did not understand that they were being terrorised, and he was determined to make people understand what was truly happening. His purpose and mission became to find a secret personal language with which he could truly express himself without being imprisoned or executed. A highly intelligent and personal form of self expression that superficially pleased the authorities by fulfilling the criteria of "acceptable" music but in reality was, on the contrary, a form of resistance against Stalin's oppressive regime. A strong voice that secretly condemned the fake optimism that he saw the government deliberately imposing upon everything. The "sugar-coated reality" that Stalin was trying to persuade the nation was real. In Shostakovich's determined search for artistic freedom, many people began to fear him. Some friends and colleagues no longer knew how to relate to him and thus betrayed or abandoned him because they feared for their own lives.

Living through this era in Soviet Russia must have been horrific and degrading for anyone, but for Shostakovich, a hugely talented composer of great artistic integrity, living under the repressive Stalinist regime can only have been a miserable existence. Watching close friends and family disappear around him and living the daily fear that his own music would soon cross the same line, certainly had a profound affect on Shostakovich's music. Musicologist Abram Gozenpud helps us appreciate the scope of this impact in his insightful comments during an interview in the documentary *Shostakovich Against Stalin*:

It is not by accident that he was attracted to tragic themes. Themes of

²⁷ Veniamin Basner quotes Shostakovich in *Shostakovich Against Stalin* documentary

²⁸ Gergiev, *Shostakovich Against Stalin* documentary

world significance, to conflict. Shostakovich juxtaposed the individual and subjective to the collective and the national.... He speaks about the tragedy of the self in a cruel world, a world which threatens the very existence of mankind.²⁹

Let us take a look at 1936, the year in which he composed the first work in question, *Symphony No. 4*. This was undoubtedly Shostakovich's most turbulent and catastrophic periods personally during which he admitted later to having been 'close to suicide.'³⁰ The year began with his opera *Lady Macbeth of Mtsensk* being denounced by the Communist Party in an aggressive and slandering article, thought to have been written by Stalin himself, published in the party's official newspaper, *Pravda*. The opera had been premiered two years earlier in Leningrad and Stalin is said to have left the performance after Act I, angrily condemning the work as "muddle instead of music", a phrase later utilised as the title of the *Pravda* article. The review was a strong attack on the composer and aside from branding him a "petty-bourgeois formalist" and an "enemy of the people", used numerous scathing and crude descriptions of his music such as 'grinding and squealing roar', 'deliberate dissonance', 'confused stream of sound', 'musical chaos', 'cacophony', "leftist" confusion instead of natural human music', 'coarse, primitive and vulgar'³¹. The list of insults goes on but I think that is sufficient material from which to conclude that the leader was not happy! Subsequently future performances of the opera were banned on the grounds of unsuitable musical idiom and morality.

Clearly this criticism was absolutely unjust. How is it possible to accuse of soulless formalism, the music of a bleeding heart, a heart laid bare?³²

Shostakovich had chosen an extremely provocative theme for an oppressed nation living under a tyrant such as Stalin. *Lady MacBeth of Mtsensk* tells the story of a heroine and bold murderess, Katerina Izmailova. This woman, the Lady MacBeth of the story, has been 'trapped into marrying the foolish son of a brute and condemned to drag out her days in tedious rural isolation among

²⁹ Abram Gozenpud, *Shostakovich Against Stalin* documentary

³⁰ MacDonald Ian, *The New Shostakovich*, 1990, Pimlico, preface quote from the *New Statesman*

³¹ Extracts from translation of article *Muddle instead of Music*, *Pravda*, 28 January 1936, <http://www.arnoldschalks.nl/tte1sub1.html>

³² Abram Gozenpud, *Shostakovich Against Stalin* documentary

mindless bumpkins.’³³ Her hatred for the tyrant and the longing she feels for meaning in her life and true love is too much to bear and she not only murders her tyrannical husband by poisoning his soup but, after having disposed of his body, proceeds to make love to his manservant. Regarding this triumphant murder of a tyrant, Shostakovich says in his memoirs, ‘a turn of events is possible in which murder is not a crime.’³⁴ Here was Shostakovich speaking the truth, showing his bitter hatred towards Stalin. Risking his life for his true self expression. Apart from the theme being too disturbing for Stalin, he was further provoked by the frenzied applause the premiere is said to have received. Stalin hated this intimate composer-audience relationship that he was unable to completely control, fearing the genius composer could convey his own personal political message through his music. 1936 was a year we see Shostakovich literally on a knife’s edge between life and death for the sake of his music. Stalin’s indignation at *Lady MacBeth of Mtsensk* resulted in the government’s establishment of specific criteria for Soviet opera, including requirements such as socialist theme, national idiom and glorification of the new era of Communism.

³³ Ian MacDonald, *The New Shostakovich*. 2nd edition, 2006, Pimlico, 105

³⁴ MacDonald, *The New Shostakovich*, 2006, 105. Here he quotes Shostakovich from his memoirs *Testimony*, 80/106

IX. THE SHOSTAKOVICH SYMPHONIES No. 4, No. 5 AND No. 10

Historical and Political Context of the Symphonies

Analysis of musical material

Symphony No. 4 (1936)

The *Fourth Symphony* was about the times, the cruel times, about the nightmare of repression.³⁵

This symphony was due to be premiered shortly after Shostakovich's "fall from grace" with the controversial opera and the subsequent slandering *Muddle Instead of Music* article, as detailed on page 36. Following the harsh denunciation the authorities put enormous pressure on the composer, trying to persuade him to "repent his sin" and it became a truly miserable period for Shostakovich as illustrated in the following extract from his memoirs:

I was completely in the thrall of fear...At that moment I desperately wanted to disappear. It was the only possible way out. I thought of the possibility of suicide with relish.³⁶

However despite the tremendous fear he felt and the pressure he was under to restore himself in the eyes of the authorities to a 'loyal and patriotic son of the Soviet Union'³⁷, Shostakovich's attitude and response was as follows:

I refused to repent. Instead of repenting I wrote my *Fourth Symphony*.³⁸

³⁵ Mariana Sabinina, *Shostakovich Against Stalin* documentary

³⁶ Greenberg quotes Shostakovich from memoirs *Testimony, Shostakovich Lectures*, lecture 4 *Resurrection*

³⁷ Greenberg, *Shostakovich Lectures*, lecture 1 *Let the Controversy Begin*

³⁸ Greenberg quotes Shostakovich from *Testimony, Shostakovich Lectures*, lecture 4

Risking his life again Shostakovich wrote a work that instead of pleasing Stalin would, in the conductor Valery Gergiev's words, 'tell the whole world about the coming tragedy of the years of Stalin and his terrors'.³⁹

It was perhaps not surprising then that Shostakovich was persuaded by the authorities to cancel the premiere of *Symphony No. 4* on the day of the performance with their threatening insinuation that 'all the performers would live to regret the day if the performance of the symphony went ahead.'⁴⁰ The work was subsequently banned from the Soviet Union and was not performed until 1961. To give some idea of the level of controversy still surrounding this work, Greenberg tells us in his lecture *Resurrection*, how twenty five years after its composition the conductor of the premiere, Kirill Kondrashin, was to Shostakovich's great indignation and irritation "scared to death".⁴¹ Apparently on nervously suggesting to the composer some cuts in the symphony in the concert (presumably to avoid any further controversy), Shostakovich is said to have been infuriated, refusing this suggestion, angrily screaming at Kondrashin "Let them eat it, let them eat it all!!!"⁴²

Perhaps due to this turbulent historical context of the symphony, and Shostakovich's subsequent need for some form of escapism and desire to ridicule the regime, almost all the piccolo soli throughout the work fall into the bitter, sarcastic comic/circus category. The first example of this satirical use appears at Figure 28 of the first movement when the first piccolo and bassoon engage in a humorous and rather stupid-sounding passage in a bizarre three-octave unison. (Example 16) The solo only consists of an ascending staccato whole-tone scale but the strange combination of the highest and lowest instruments of the woodwind section on such a quirky and foolish theme is indeed most odd and comical. Another perfect example of this comic role can be seen in the final movement, five bars after Figure 208, when the solo piccolo expresses circus-like merriment with its seventeen bars of simplistic ascending grace notes. (Example 17) If it were not for the sarcastic vulgarity and bitter tone of the passage, the provocative grace-notes would almost remind us of similar light-hearted material of Rossini's overture writing such as we saw earlier in the *Overture to Semiramide*. (Example 4)

³⁹ Gergiev, *Shostakovich Against Stalin* documentary

⁴⁰ Greenberg, *Shostakovich Lectures*, lecture 4

⁴¹ Greenberg quotes Shostakovich from *Testimony*, *Shostakovich Lectures*, lecture 4

⁴² Greenberg, *Shostakovich Lectures*, lecture 4

Shostakovich commonly prepared this type of burlesque piccolo soli by engaging the opposite end of the orchestral spectrum right before the entry, the stark juxtaposition of opposing mood, register and musical characterisation only helping to exaggerate the ridiculous, joke-like nature of the piccolo. A sarcastic moment of this nature is the long and sprightly solo shared between E-flat clarinet and piccolo between Figures 51 and 54 of the first movement. (Example 18) This time both voices are of high register and raucous character, equally functioning as a half timbre of the solo. The entertaining phrase is intentionally prepared with the lengthy deep and dark section beginning two bars before Figure 48 when two tubas begin a heavy and accented solo melody in unison, the trombones, horns and trumpets also contributing to the weight and power of the passage. This heavy, low tuba solo that transforms into a powerful blaring brass quartet is, as it stands, threatening but add on top of that the nasty, aggressive interjections from unison winds, strings and xylophone and the effect is quite hideous. (Example 19) The contrast to the burlesque entry of piccolo and E-flat clarinet at Figure 51 is then even more astounding and humorous in effect. The double solo, each instrument contributing a half timbre, is aptly accompanied and encouraged in the comic direction by the clarinet section's foolish sounding um-cha-cha-cha sixteenth-note bass line as well as a few equally entertaining forte-piano triple splurges of colour in the lower clarinets.

At the very end of the second movement, the piccolo and first flute are briefly recruited to the percussion section in the bizarre and magical moment beginning three bars before Figure 150. (Example 20) The 22-bar castanet, woodblock and snare drum riff, only underpinned by one low D pitch in the harp, is a most unusual way of ending the movement. The lower strings add eighth-note pizzicato to the riff, while the first violins join with a brittle, muted pattern. Although the two tiny solo interjections of the piccolo and flute are of insignificant substance, not much more than a prepared bar of pianissimo frullato (flutter tongue), it is non-the less like the icing on the cake and concludes the percussive end of the movement with a most satisfying sense of brittle texture and finality.

Most other main piccolo material in *Symphony No. 4* is in the form of piccolo duo and falls into one of the corresponding duo functional categories as detailed on page 29. The very opening five bars of the symphony is a great example of Shostakovich's choice to double the piccolo in the top register for potency increase. Although an impressive team of doubled woodwinds four flutes, four oboes, four clarinets, piccolo clarinet, eight horns and tremolo xylophone enter in unison on a desperate

screaming double appoggiatura-preceded A, in that high register, one piccolo would have been sufficient to fulfil the function of tutti containment here. However, the scoring of two piccolos instead of one on these three fortissimo top register pitches (A, G and F), each preceded by a double appoggiatura and marked with crescendo, only heightens the effect and the characterisation of alarm and desperation. In the fourth and fifth bars of this passage, the piccolos fall into an interesting timbre category. Despite there being many other instruments present in the overall sound, the two piccolos and xylophone are arguably the most distinctive instrumental timbres that overpower and radiate from the mass, their effective fusion resulting in an unusual and brilliant tonal blend.

(Example 21 / Audio sample 1)

Shostakovich takes this doubling piccolo function to a new level at Figure 30 when he scores the two piccolos in unison on a top C (arguably the highest attainable note on the instrument) along with tutti orchestra. Considering that this top C pitch is by its very nature extremely loud and piercing, it is a strong statement that Shostakovich additionally chooses to mark the note with “ffff” and “marcato”! Double fortissimo is a dynamic rarely seen even in the most aggressive of contemporary music, so the extreme desperation and intent of expression is very apparent.

(Example 22 / Audio sample 2) There are many other moments throughout the movement where Shostakovich exploits the potency increase function of the two piccolos, using their doubled force and volume for explosive effect. Aside from countless tutti passages, two moments that particularly stand out in terms of piccolo power are the fast rolling passage at Figure 46 to 47 (Example 23 / Audio sample 3) and the anxious rising flourishes at Figure 77 which culminate in a piercing sustained top G-sharp trill and four stabbing fffp crescendo figures. (Example 24) In many of these potency increase examples we see Shostakovich resorting to extreme compositional measures to match and express the extreme political tension of the time.

A role unique to the doubling piccolos in *Symphony No. 4* is two piccolos on semi-tone and whole-tone clashes. The first time it appears is at Figure 18 when following a nine-bar build-up of a unison, staccato, ascending repeated-note pattern, Shostakovich moves the piccolos a tone apart with seven isolated third octave G-sharp and A-sharp clashes, the aggressive effect only exaggerated further by the accents and cresendi. Interestingly all other woodwinds are either in unison, octaves or sixths, only the piccolos being a tone apart, Shostakovich singling them out to fulfil the clashing role. (Example 25 / Audio sample 4) A whole-tone clash in the piccolos alone is

sufficient bite to give the passage the required unpleasant edge and tension symbolic and expressive of Shostakovich's own personal anguish.

The next notable whole-tone piccolo clash begins three bars before Figure 22 where curiously the whole orchestra "accompany" the soli bass clarinet, bassoon, contra bassoon and trombones' menacing melody which passes over to the horns at Figure 22. (Example 26) The piccolos stab away at the aggressive relentless whole-tone clashing eighth-note passage, the only other instruments to join them in the clash are the trumpets and viola. Once again we see Shostakovich particularly exploiting the clash of piccolo timbre and harmony to give a grittier biting edge to otherwise much blander accompaniment.

Two other clashes worth mentioning are in the third and final movement. Here the mood is different and Shostakovich uses the semi-tone clashes for a totally different effect than before, the piccolos here perhaps representing two small but strong individuals, clashing with and ridiculing the regime. Following a bombastic, triumphant and unified melody for tutti orchestra five bars after Figure 184, Shostakovich then twists the atmosphere sour with an openly aggressive fight, brass section versus rest of the orchestra from Figure 187 to two bars before Figure 189. Here the two timpani, lower woodwinds and strings begin a violent rhythmic pattern, immediately re-creating sounds of war, only enhanced further by the doubled tuba fortissimo accented stabs that hint at some kind of war horn. Both themes then fade off into the distance, Shostakovich passing them to weaker instruments and indicating diminuendo. (Example 27 / Audio sample 5 first part) The result is an extremely eerie moment of uncertainty into which Shostakovich chooses to introduce the most unexpected satirical and dark humoured dialogue between bass clarinet and first piccolo at Figure 191, the unbalance in register and timbre of the opposing ends of the woodwind section creating a truly sinister and twisted comical effect. The second piccolo joins for three precise semi-tone clashes once and again seven bars later. (Example 27 / Audio sample 5 second part) The effect of these two little piccolo duo interjections are very brash and crude, perhaps a slandering of the nationalistic "sugar-coated" Communists parades of the time that Shostakovich despised. A similar yet slightly more menacing clash motif is revealed four bars before Figure 199. This time Shostakovich takes the bizarre combination of instruments a step further by composing an underpinning drone in the lowest members of both woodwind and string section, the contra bassoon and the double bass! Here we are talking about a six and a half octave difference in register between the lower instruments and the piccolo, a contrast of absolutely ridiculous proportions. (Example 28 / Audio sample 6)

Another prominent spot for the two-piccolo team is a strange fifteen-bar passage beginning six bars before Figure 128 in the second movement. The simultaneous two-line melody is of a rather rustic, simple and lyrical nature and yet surprisingly includes in its gentle arch-shape, stratospheric sustained top Cs in the first piccolo! The second piccolo precisely mirrors the top-line melody a fifth below, the constantly maintained open interval giving the duet a pleasing sense of vitality but demanding perfect intonation of the two players in order to activate the correct harmonic series interaction between tones. (Example 29 / Audio sample 7)

Shostakovich's use of frullato (flutter tongue) is sparse and only appears twice in all the symphonies, in *Symphonies No. 4 and No. 8*. If well executed the eerie 28-bar stretch of pianissimo frullato, divided between the first and second flute and the two piccolos, at Figure 88 of the first movement, creates a totally seamless and ghostly backdrop to the expressive melody in the lower strings. (Example 30) This length of passage would be extremely uncomfortable if not impossible both stamina wise (for the tongue!) and breath wise (for the lungs!) with only one flute and one piccolo. The staggered dovetailing between all four voices therefore offers the flute/piccolo team a chance to deliver an astonishingly smooth and continuous line, the accomplishment of which only adds further to the bizarre and almost supernatural effect of the passage.

This phrase contains many technical challenges simultaneously, perhaps the principal challenge being to achieve a real pianissimo dynamic (more so on the piccolo than on the flute) without the brittle frullato cutting out. Role wise this passage certainly falls into the semi-audible colour effect category whereby the sound created is only intended to generate an atmosphere and must remain disassociated from an identifiable instrument. The brief preview of this fragile fluttering motif in the violins just seven bars before the entry, only adds further pressure to the piccolos to really achieve the challenging dynamic that Shostakovich demands. To accomplish the same level of transparency and tidiness between a piccolo frullato and a violin tremolo is not easy! Another challenge presented in this section is to avoid a bump on each two-bar entry thereby ruining the uninterrupted, mesmerising texture. In fact a frullato that speaks inaudibly at this dynamic is so difficult to achieve that it is very rare that the passage is executed as Shostakovich originally wrote it, most professional piccolo-players making revised versions of the distribution of line amongst themselves to evade the almost insurmountable problem of creating seamless joins. Possible re-distributions of the sustained tone include two longer stretches of fourteen bars each (which means

only one necessary join in the middle), four segments of seven bars each (perhaps the most commonly performed) or even seven shorter stretches of four bars which still halves the amount of tricky joins required of the piccolo-players.

A further example of the doubling piccolos (and other doubling instruments) achieving continuity of line impossible on one instrument is found in the first movement's peculiar, canonic dialogue between flutes and clarinets, initiated at Figure 139 by the first piccolo. (Examples 31 and 31a) All wind instruments are divided here, individual lines dovetailing each other in a complex web of bizarre and hypnotic musical doodles. This relay fashion of composition, eradicates the necessary natural breaks for breaths, and the thirty bars of mesmerising chromatic meanderings has a distressing and suffocating impact on the listener. Here the main challenges for the two piccolos (and other wind instruments sharing the line and dovetailing each other) are to avoid obvious articulation at each entry and to match each other exactly in dynamic level and tone throughout the entire phrase. If this seamlessness is achieved between the instrumental lines, the effect of the passage and its impossible, surreal nature is even more warped and disturbing.

Symphony No. 5 (1937)

This symphony was crucial for his destiny because his life was at the brink of extinction.⁴³

When the *Fifth Symphony* appeared, the official opinion was that Shostakovich had seen the light. It seemed he had become a Soviet man. But in fact with the *Fifth Symphony* Shostakovich expressed allegorically everything he had endured, all the persecutions.⁴⁴

Shostakovich had been warned by friends and colleagues to withdraw the premiere of *Symphony No. 5* because, as in musicologist Mariana Sabinina's words:

It's tragedy is so sharp, so cutting that it was impossible not to notice. It would provoke horrible controversy'.⁴⁵

However the performance went ahead and as Sabinina, a member of the audience that night, recalls 'made a stunning impression.'⁴⁶ The audience is said to have risen and stood there applauding for a whole hour, sharing the moment joyously together and congratulating each other on having been there! In relation to the ambience and public experience that night, the musicologist remembers, 'there was such a feeling of joy, of happiness. Finally we heard the music we wanted to hear.'⁴⁷ Here was a piece of art that truly portrayed the terror of the epoch and allowed people to openly and publicly share the tragedy and horror that they were living. Ironically, *Symphony No.5* was also greatly approved by Stalin, so much so that he officially retitled the symphony "A Soviet artist's creative response to justified criticism". In that way we see how Shostakovich 'brilliantly straddles the line between accessibility and personal compositional integrity'⁴⁸, geniously managing to speak two different languages simultaneously. He deceived the authorities with accessible moments that they predictably interpreted as joyous and optimistic "glorification" (such as the closing of the

⁴³ Vladimir Rubin, *Shostakovich Against Stalin* documentary

⁴⁴ Ilya Musin, *Shostakovich Against Stalin* documentary

⁴⁵ Mariana Sabinina, *Shostakovich Against Stalin* documentary

⁴⁶ Mariana Sabinina, *Shostakovich Against Stalin* documentary

⁴⁷ Mariana Sabinina, *Shostakovich Against Stalin* documentary

⁴⁸ Greenberg, *Shostakovich Lectures*, lecture 4

Finale) when in fact, in the words of Mstislav Rostropovich, the piece was clearly ‘a message of sorrow, suffering and isolation.’⁴⁹

Symphony No. 5 is one of the symphonies to demonstrate the largest variety of both tutti and soli roles in piccolo scoring. Figure 11 of the first movement is a brilliant example of the inaudible colour effect function, with the piano second-octave three-bar B, joining the fragile first violins’ tragic melody. (Example 32) Here the piccolo’s note is used merely to colour the almost translucent violins, adding a subtle shimmering and unnerving icy quality to the string sound. If successfully delivered, the piccolo note fulfils its function whilst going completely unnoticed! This is a place that piccolo-player Kenneth Wihlborg classifies as one of the ‘extremely important unimportant moments’ in Shostakovich’s scoring for piccolo⁵⁰, where the extreme delicacy and inaudibility demands great control of the instrument and can leave disastrous results if not achieved, as Wihlborg confirms when he said ‘if you don’t take care of things you can destroy a place so easily’⁵¹. This sums up the ambiguous responsibility we piccolo-players face of fulfilling an important timbral function at a crucially delicate moment whilst remaining as inaudible and unidentifiable as possible.

Although more jovial and audible in character, the piccolo is used again for colouring the strings at Figure 21 of the first movement with a short figurative passage. (Example 33) The initial ascending legato flourish is intentionally more solistic than mere unison seeing as the strings have a contrasting articulated sixteenth-note pattern. The differentiating articulations in the following bar (piccolo slurred in groups and violins accented and slurred in smaller groups) also mean the piccolo is now semi-audible in function. Likewise in the second movement, two bars after Figure 66 and eight bars after Figure 68, the short decorative interjections are principally to colour the violins’ pizzicato melody in a semi-audible fashion. Shostakovich gives the piccolo a pinch more individualism than mere colouring with material that is once again not exactly in unison (piccolo has an additional trill and grace notes) and a timbre quite distinct from that of the pizzicato strings. (Example 34 / Audio sample 8)

⁴⁹ Greenberg quotes Mstislav Rostropovich, *Shostakovich Lectures*, lecture 4

⁵⁰ Wihlborg, interview

⁵¹ Wihlborg, interview

The pianissimo solo in the piccolo's low register at Figure 45 towards the end of the first movement is a perfect example of an expressive solo/flute extension role where the piccolo seamlessly transforms into the "flute" soloist with the merging unison E-flats. The piccolo does not pass material back to the flute and in fact continues transforming the solo line by passing it onto the solo violin. (Example 35 / Audio sample 9) The main challenge of this four-bar spotlight is to achieve the perfect tonal blends at either end of the solo, imitating a low register hollow flute at the beginning and a high register compact and expressive violin tone at the end of the solo. A further challenge is to work against the natural tendencies of the instrument and find sufficient solistic tonal qualities in order to carry a solo passage in this low and naturally weak register at the pianissimo marked dynamic.

Symphony No. 5 displays countless moments of tutti containment and timbre contribution functions for the piccolo, moments in which although the instrument is only playing the same as everybody else and is in no way a soloist, participates much more audibly and actively in the overall sound than the others due to its such distinctive sonority. One example of this function can be seen in the first movement's passage at Figure 36, ending six bars before Figure 39, when the entire orchestra play the *Largamente* theme in unison. (Example 36) The effect of such a colossal tutti is of grand measures and, although with less emotional weight than some of the *Symphony No. 4* tutti piccolo-scoring, the instrument's piercing quality surely helps to define, contain and give a brilliance to the massive, heavy orchestral texture.

There are several places later in the symphony where the piccolo serves to define and contain whilst simultaneously adding some emotional content and solistic character. One example of this is the second movement's main woodwind theme at Figure 53 (Example 37) and again later at Figure 69 where the dotted rhythm, staccato articulation and trills give a more severe, biting and vicious edge to the purely defining/containing role. Likewise the piccolo-scoring in the *Finale*'s opening and again a tone higher four bars after Figure 104 (Example 38) clearly serves as tutti containment although now with a more obvious character role, the high register, accents and high ripping grace notes giving the piccolo a menacing, almost diabolical presence.

A great example of a physical stamina challenge can be seen at the very end of *Symphony No. 5*, after Figure 131, where the whole orchestra, including piccolo outlining the colossal texture, play 32 straight bars of eighth-note As (Example 39 / Audio sample 10) For many instruments this may

be tiring but for the piccolo it is really on the edge in terms of stamina for both the lips and the lungs! Considering the piccolo is extremely audible at this register, there are limited options for breathing in this passage, unlike other instruments who can sporadically drop out of the stream of eighth-notes in order to take an unnoticed breath. As I discovered personally in rehearsal context of this symphony, the only moments of possibility to skip a note in this way and catch a breath fairly inaudibly are during the overpowering cymbal crashes where the resulting clamour of sound gives a split second chance to breathe more inconspicuously! Otherwise one has to develop a way of physically saving as much air and spending as little air as possible at this high register and triple forte dynamic.

The stirring *Finale* is worth a mention in terms of the political context and the ambiguity of Shostakovich's language. Considering that Shostakovich had almost been purged in 1936 for his so-called "crimes", the Party were keen to have a private preview of the symphony before the performance went ahead to check the work's "ideological suitability", and so a private play-through (on piano) by the composer to a selection of officials was organised. Shostakovich was fully aware that this composition 'would either rehabilitate him or seal his doom'⁵² so, with his life seriously at stake, there was no option but to 'toe the Party line'⁵³. The scandal of the denounced *Lady MacBeth* and the banned *Symphony No. 4* had been such a huge affair, there had been no public performances of his works for two whole years since during which time Shostakovich had kept a low profile mainly composing film music. This next symphony meant 'life or death, and everybody knew it'.⁵⁴ For the benefit of the authorities, Shostakovich did not neglect to include several accessible moments in his scoring as a way of placating the Party officials, convincing and deceiving them that the material was of a purely optimistic nature. One of these moments was from Figure 131 of the *Finale* where, as we saw previously, the tutti orchestra play a unison stream of uninterrupted eighth-note A's to a crashing climax of full force some two minutes later. Both from a musician's and audience member's perspective the passage is so powerful, it shakes you to your very core. The preview was a huge success and the group of officials were delighted with the material, interpreting it as:

⁵² Greenberg, *Shostakovich Lectures*, lecture 4

⁵³ Greenberg, *Shostakovich Lectures*, lecture 4

⁵⁴ Greenberg, *Shostakovich Lectures*, lecture 4

A perfect preeminent example of Soviet ideology set to music, it's brilliant and stirring *Finale* is a paean by Shostakovich to victory to Stalin, to the new Russia and the Soviet working class.⁵⁵

Success! Shostakovich had not compromised his real meaning and had not only survived but had thrilled the authorities! Proof that he had still expressed the real emotion and meaning came with the numerous accounts and testaments from those who had experienced the closing of the *Finale* with more sensitive ears and aching souls. They sensed immediately that the rejoicing was forced, fake, like someone under threat, smiling through the tears. In Professor Greenberg's words:

It's as if someone were beating you with a stick and saying: "Your business is rejoicing, your business is rejoicing!"⁵⁶

In relation to the relentless closing passage of the symphony that the authorities were so delighted with for its joyous, nationalistic and optimistic nature, Mstislav Rostropovich is quoted as having said:

The shrill repetitions of the A at the end of the symphony are to me like a spearpoint jabbing in the wounds of a person on the rack. Anybody who thinks the *Finale* is glorification is an idiot.⁵⁷

⁵⁵ Greenberg, *Shostakovich Lectures*, lecture 1

⁵⁶ Greenberg, *Shostakovich Lectures*, lecture 1

⁵⁷ Greenberg quotes Rostropovich, *Shostakovich Lectures*, lecture 1

Symphony No. 10 (1953)

Shostakovich's *Tenth* became a model for what the new post-Stalin Soviet music might aspire to. A more personal, less explicitly programmatic, more frankly modern musical language that both engaged and challenged its listeners.⁵⁸

Symphony No. 10 is considered by many to be among Shostakovich's greatest works. It had been eight years since the disastrous *Symphony No. 9* premiere in 1945, a performance so controversial it brought him once again extremely close to being purged. The reason for so much trouble with the *Ninth Symphony* was that Shostakovich had promised, on demand, an apotheosis to Stalin, a masterwork of huge forces with choir and soloists. The war had ended victoriously and the Party wanted an ode, a national *Ninth Symphony*, a celebration of Stalin's Soviet Union. Shostakovich delivered nothing he had promised, no choir, no soloists and certainly no apotheosis, the composer himself saying on the matter:

In my *Ninth*, I couldn't write an apotheosis to Stalin, I simply couldn't.⁵⁹

On the contrary *Symphony No. 9* is one of the most sarcastic and jovial of the symphonies and it incensed Stalin and the authorities. Shostakovich in his usual genius way, however, managed to appease the authorities and evade a seemingly eminent arrest and instead went on to compose *Symphony No. 10* which, quite the opposite to *Symphony No. 9*, became 'an instant classic'. The piece sparked controversy but finally a positive controversy in Shostakovich's favour.

I wrote it [*Symphony No. 10*] right after Stalin's death and no one guessed what this symphony was about. It's about Stalin and the Stalin years, the second movement, the *Scherzo*, is a musical portrait of Stalin roughly speaking.

This *Allegro* he refers to, marked by the composer at a wicked tempo of M.M.176 is a fiendishly difficult four minutes for most musicians on stage. The aggressive stabbing string entry follows a

⁵⁸ Greenberg, *Shostakovich Lectures*, lecture 7, *The Thaw*

⁵⁹ Greenberg, quotes Shostakovich from memoirs *Testimony*, *Shostakovich Lectures*, lecture 7

breathtakingly still *morendo* solo piccolo ending, a stark juxtaposition of character that is extremely striking and effective. The lone, fragile and innocent individual trampled on by a ferocious and aggressive whirlwind. In the opening of the movement and all the subsequent panic-stricken sixteenth-note passages, (practically from Figure 75 to 86), Shostakovich is seen to use a savage and brutal orchestration. The piccolo here clearly serves the function of tutti containment but now with a pronounced sinister edge, a good example of the ‘acid-etched orchestration’ mentioned on page 25. (Example 40 / Audio sample 11) The woodwinds enter at Figure 72 with a menacing galloping motif, the flutes and piccolo joining three bars later. As the piccolo approaches the higher register, the mean and vicious character exposes itself more clearly and the piccolo’s piercing timbre is of great expressive power. (Example 41) Wilhborg summed up this type of functional yet solistic piccolo role in our conversation when he said, referring to this very opening of the second movement of *Symphony No. 10*:

It’s not a solo at all but if the piccolo doesn’t play, you hear it immediately, the edge has gone.

Interestingly, following this wicked and ferocious musical portrait of the tyrant Shostakovich had so loathed, are the two movements (the *Allegro* and *Allegretto*) in which we see the most use of the DSCH theme in all Shostakovich’s symphonic material (featured in examples 47 and 48.) The DSCH theme was a four-note motif or musical cryptogram consisting of the tones D, E-flat, C and B that Shostakovich used to represent himself. One could say his “musical signature”. In German notation these notes were pronounced De, Es, Ce, Ha, thus representing the composer’s name (“D.SCH”) in German transliteration. His insistent use of the cryptogram in both these movements thus seems to be loaded with significance and personal rejoicing.

Another moment seemingly loaded with meaning and strong emotion is the piccolo duo that closes the first movement. This is undoubtedly the most notable spotlight moment for the piccolo duo format in all the Shostakovich symphonies, beginning at Figure 69 and running til the very end of the movement. (Example 42 / Audio sample 12) The interaction between two lines is clearly a main theme for Shostakovich throughout the movement, especially the relationship between one almost stationary and one moving line. The emotionally charged interweaving of the final piccolo duet is anticipated several times throughout the movement in various instrumentations but Shostakovich interestingly chooses the piccolos as the two voices with which to deliver the final tragic message.

In my opinion, perhaps more than any other expressive piccolo moment in the symphonies, this passage displays Shostakovich's deep affinity and belief in the instrument's expressive capabilities. The piccolo duet that transforms into a breathtakingly solitary solo line for the last sixteen bars of the movement is impossible to isolate in terms of context, meaning and function from the themes and emotional drive that has preceded it. I will therefore start by tracing the movement back to where Shostakovich began exploring the material that culminates so poignantly in this closing piccolo duet.

There are, of course, endless potential interpretations of this type of two-line musical interaction that we see throughout the movement. On the one hand it seems to be a friendly, intimate and mutually supportive relationship between voices but on the other hand the contrast between an almost static top line and a rising and falling awkward semi-chromatic progression beneath has a curiously unsettling effect. Although in general the presence of the lower voice feels supportive, underpinning an otherwise empty and meaningless sustained tones in the top line, the sinister harmony created by the monotonous meandering patterns does undoubtedly create a general sense of unease and tension between the lines.

The piccolo duo theme is first hinted at between Figure 3 and 4 when first violins and violas in octave unison hold sustained tones while celli and double basses take the thematic rising and falling bass line (Example 43) Again at Figure 5 the interweaving lines are present with a solo clarinet line being accompanied by the first violins in a similar manner. (Example 44) Then four bars before Figure 7 until Figure 8 we hear yet another statement of the duo theme between first and second violins, this time almost an exact version of the piccolo duo to come, before the movement finally launches off into more expansive material. (Example 45)

After much development, Shostakovich returns to the duet motif much later in the movement although this time presenting very contrasting musical material in a charismatic, playful and almost melancholic clown-like passage for two clarinets. They begin to weave a dialogue at Figure 56, initially with a rather lost and meandering first clarinet. The second clarinet then joins and the material transforms into a peculiar, lilting rhythmic duet which remains tightly in thirds and matching rhythm the whole way until Figure 59 (Example 46)

The scene for the piccolos' final moment is set by a rather drawn out dark and ominous section. The pianissimo swelling timpani roll, two bars before Figure 65, subtly but effectively triggers a nervous ambience, the subsequent peculiar fifteen-bar woodwind chorale and the long passage of murmuring lower strings also adding to the unsettling atmosphere and suspense. (Example 42a)

The first piccolo then enters on a totally isolated middle register B-flat, marked with a crescendo swell to establish its presence. Apart from the sudden five-octave difference in register between the double bass' end of phrase and the piccolo entry note, the sweet, pure and shining piccolo tone is the absolute last sound one is expecting to emerge from the rumbling depths of the orchestra.

After twenty five minutes of heavy and tragic drama, the stark contrast in timbre, register and stillness makes the moment into a wonderful sort of breakthrough, full of hope and relief, a ray of light from the depths of darkness. These were feelings and images Shostakovich was perhaps now able to access following the death of Stalin. The second piccolo then enters with the ambiguous step-wise weaving line as the first piccolo's melodic line progresses to larger and more awkward intervals. At such a surprising delicate moment of exposure, the second piccolo's response and presence is felt as very reassuring and could perhaps be seen to represent human solidarity.

A considerable technical challenge faced here is intonation between piccolos, especially as the main reference point of the second piccolo's line is a C-sharp (the weakest and sharpest note on the instrument!) Unlike the earlier clarinets who support and mirror each the whole way, after fifteen bars of close dialogue, the second piccolo suddenly disappears, leaving the first piccolo hanging on a seemingly never-ending sustained pianissimo G, only sparsely accompanied by short unsettling bursts of pianissimo timpani roll and pianissimo string pizzicato until the very end. If the piccolo-player manages to meet the main challenges of fine control, breath capacity and a pianissimo dynamic for the entire solo with a morendo (dying away) ending, the atmosphere created is absolutely electric and truly terrifying. In my opinion here Shostakovich chose a lone pianissimo morendo piccolo, abandoned by his comrade and hanging on for dear life until the very end, to portray his own fragility and sadness looking back on 'the shameful treachery of friends and acquaintances'⁶⁰ and the close personal losses that he had suffered during the Stalin regime.

⁶⁰ Greenberg quotes Shostakovich from memoirs *Testimony, Shostakovich - His Life and Music*, lecture 4

Throughout the third movement of this symphony the piccolo is seen to work very closely with the flute, almost as an inseparable pair on several occasions. The first fused unison moment between the two instruments comes three bars after Figure 104 when, in combination with the first oboe, the voices confidently and triumphantly sing the DSCH theme. Following the previous movement's musical portrait of Stalin, the hammering out of the DSCH theme, especially in the triumphant guise seen here at Figure 104, is undoubtedly loaded with meaning and political message as we explored earlier. The nature of the three-part timbre made up here of piccolo, flute and oboe is already very strong and bright in nature and Shostakovich exaggerates this triumphant positivity and strength further with the almost arrogant crescendi on the long notes. (Example 47 / Audio sample 13)

However the same strength and confirmation of identity and character cannot be said to be seen in the last ambiguous uttering of the DSCH theme. It comes at Figure 143 at the closure of the movement in the form of a unison piano flute and piccolo brittle, staccato and rather chilling version of the composer's initials. (Example 48 / Audio sample 14) Practically the entire movement has been an exploration of the DSCH theme in different instrumentations, forces and dynamics but this is without a doubt the most weak and chilling version, exaggerated by the staccato articulation and sudden half speed tempo of the theme. Apart from requiring perfect intonation to effectively sound like one instrument here, the phrase is very challenging in terms of ensemble and is a place that almost cannot be conducted but only "felt" between the two musicians.

The *Largo* phrase beginning seven bars after Figure 117 is a perfect example of half timbre function where the flute and piccolo together create an interesting but challenging tonal blend that should be absolutely inseparable and undistinguishable as two instruments. (Example 49 / Audio sample 15) The challenge here is to speak as a solo voice but with total awareness of your equal timbral partner, the flute. The minor/modal melody is intensely loaded with sorrow and nostalgia and is undoubtedly one of the expressive solistic highlights of the work.

X. CONCLUSION

Through this project I have explored the historical development of the piccolo in the orchestra from the early 1700s up to the mid twentieth century by detailing the piccolo's principal roles and functions as employed in works by composers including Beethoven, Rossini, Bizet, Berlioz, Tchaikovsky, Mahler, Ravel, Rimsky-Korsakov and Stravinsky. I have explored Shostakovich's use of the piccolo and the impact his scoring has had on both the instrument's development and piccolo-playing. I have detailed and explored the technical challenges faced by piccolo-players in these symphonies and some of the possible methods for overcoming these difficulties. I have explored the roles of the piccolo as employed by Shostakovich throughout his symphonies in the distinct categories of supportive auxiliary roles, solo roles and the duo roles. I have explored the historical and political context of Shostakovich's writing by researching twentieth century Soviet history with particular focus on the Stalinist era and how this affected the artistic milieu and specifically Shostakovich's life and musical output. I have examined musical material from *Symphonies No. 4, No. 5 and No. 10*, referring to all musical examples with extracts from either the piccolo part or the full score (or both), as listed in the musical examples index.

My conclusion of this project is that Dimtri Shostakovich is one of the composers of world history to have been influenced most profoundly by the harsh political environment in which he was composing. Through his tragic circumstances, Shostakovich created a unique and deeply personal musical language that brilliantly enabled him to remain both an artist true to himself and a survivor.

Shostakovich's affinity with the piccolo is undeniable and his use of the instrument in so many prominent and innovative guises, distinct from most composers prior to him, not only served the instrument greatly in the musical arena but contributed largely to instrumental development.

On a personal level, it has not always been an easy or enjoyable project, digging into one of the most horrific periods of human history, but through this necessary investigation I feel I have come to appreciate Shostakovich's music on a much deeper level. I feel confident that the knowledge I have gained through the historical and political context of his works will allow me to more effectively interpret his musical language as both an audience member and a player. To feel more

and understand more in his musical language and messages. In fact the benefits I already feel in my musicianship from this project both practically and academically inspire me to research other composers, works and periods of history in this broader manner prior to performance to enrich my understanding and performance.

While researching this project, I have been struck by Shostakovich's incredible sense of determination and artistic integrity. His ability to remain honest and true to his art and himself despite all the censorship, threats, repression and the numerous painful losses he suffered, I have found to be remarkable and awe inspiring.

On a more practical level, this project has been of great use and extremely motivational to me as an orchestral piccolo-player. Through my examination, analysis and practice of the technical difficulties and musical challenges presented by these symphonic passages, I feel I have come closer to interpreting these works on a higher level as a player. I look forward to new performance opportunities of the symphonic works to put my new skills and understanding into practice!

MUSICAL EXAMPLES

The examples here cited are a mixture of extracts from both the piccolo parts and orchestra scores. Due to the fact that some of the extracts are of significant length, and would have entailed several pages of full orchestra score, I have more often either just quoted the piccolo part or quoted from the orchestral score but not in its entirety. In other cases, for ease of layout of certain soli passages and duos, I have quoted from Trevor Wye and Patricia Morris's *Practice Book for the Piccolo*.

II. HISTORICAL DEVELOPMENT OF THE PICCOLO IN THE ORCHESTRA

Piccolo part extracts

Example No:

- 1 - Beethoven *Symphony No. 5, Finale* bars 699-723
- 2 - Beethoven *Symphony No. 6, Finale* bars 93-95
- 3 - Beethoven *Symphony No.9, Finale Allegro assai vivace, Alla Marcia* extracts from between bars 331 and 431
- 4 - Rossini *Semiramide Overture* solo, 5 bars before letter L to L and 8 bars before letter U to U
- 5- Rossini *Thieving Magpie Overture*, opening 19 bars
- 6 - Berlioz *Menuet des Follets* from *Damnation of Faust, Moderato and Presto e leggiero* extracts
- 7 - Bizet *Carmen, Allegro movt. de Marche* (from Act 1, No. 3 *Choeur des Garmins*), opening to 16 bars after letter B
- 8 - Tchaikovsky *Symphony No. 4, 3rd mvt.*, 1-9 bars after letter E and 10-13 bars after letter F
- 9 - Mahler *Symphony No. 2 "Resurrection"*, 5th mvt., cadenza 5-13 bars after Figure 30
- 10 - Ravel *Daphnis and Chloe*, 5 bars before Figure 157 to 2 bars after Figure 157 and first 2 bars of Figure 159
- 11 - Ravel, *Piano Concerto in G-major*, opening to Figure 1
- 12 - Ravel *Rapsodie Espagnol*, 1 bar before Figure 14 to Figure 15
- 13 - Stravinsky *Rite of Spring, Part One, L'Adoration de la Terre*, 3 bars before Figure 11 to 4 bars after Figure 11
- 14 - Stravinsky *Rite of Spring, Part One, Danses des Adolescentes*, 3 bars before Figure 17 to 1 bar before Figure 18
- 15 - Stravinsky *Rite of Spring, Part One, Rondes Printanieres*, first 2 bars of Figure 54

XI. THE SHOSTAKOVICH SYMPHONIES: MUSICAL EXAMPLES

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SYMPHONY No. 4

Piccolo parts and full score extracts

Example No:

- 16 - 1st mvt, first 3 bars of Figure 28 (piccolo and bassoon)
- 17 - 1st mvt, 5 bars after Figure 208 to Figure 209 (solo piccolo)
- 18 - 1st mvt, Figure 51-54 (piccolo and E-flat clarinet)
- 19 - 1st mvt, 2 bars before Figure 48 to Figure 51 (brass section - NOTE not full score quote, only brass)
- 20 - 2nd mvt, 3 bars before Figure 150 to end (piccolo, flute, percussion, harp, strings)

- 21 - 1st mvt, opening 5 bars (tutti)
- 22 - 1st mvt, Figure 30 first 5 bars (tutti / doubling piccolos)
- 23 - 1st mvt, Figure 46-47 (double piccolo part)
- 24 - 1st mvt, Figure 77-79 (double piccolo part)
- 25 - 1st mvt, Figure 18 to 1 bar before Figure 19 (tutti / piccolo semi-tone clashes)
- 26 - 1st mvt, Figure 3 bars before Figure 22 to 1 bar before Figure 23 (tutti)
- 27 - 3rd mvt, 7 bars after Figure 191 to 3 bars before Figure 192 (piccolos, bass clarinet)
- 28 - 3rd mvt, 4 bars before Figure 199 to 6 bars after Figure 199 (piccolos, contra bassoon, horn and strings)
- 29 - 2nd mvt, 6 bars before Figure 128 to Figure 129 (piccolo duo part)
- 30 - 1st mvt, Figure 88 to 9 bars after Figure 89 (piccolos and flutes flutter tongue)
- 31 - 1st mvt, Figure 139-143 (woodwind section)
- 31a - same extract (duo piccolo part only)

SYMPHONY No. 5

Piccolo part and full score extracts

Example No:

- 32 - 1st mvt, first 4 bars of Figure 11, (piccolo, violins and harp)
- 33 - 1st mvt, first 3 bars of Figure 21, (piccolo and violins)
- 34 - 2nd mvt, 2-4 bars after Figure 66 and 8-9 bars after Figure 68 (piccolo and pizzicato violins)
- 35 - 1st mvt, 1 bar after Figure 44 to 4 bars after Figure 45 (flute , piccolo, violin)
- 36 - 1st mvt, Figure 36 to 2 bars after Figure 38 (tutti)
- 37 - 2nd mvt, Figure 53-54 (woodwind section)
- 38 - 4th mvt, 4 bars after Figure 104 to Figure 105 (tutti)
- 39 - 4th mvt, 3 bars after Figure 131 to end (piccolo part)

SYMPHONY No. 10

Piccolo part and full score extracts

Example No:

- 40 - 2nd mvt, 3 bars after Figure 75 to Figure 86 (piccolo part)
- 41 - 2nd mvt, Figure 72 to 2 bars after Figure 73 (woodwinds)
- 42 - 1st mvt, Figure 69 to end (piccolo duo part)
- 42a - same extract with preparation from 2 bars before Figure 65 to end (tutti)
- 43 - 1st mvt, Figure 3 to 1 bar before Figure 4 (strings)
- 44 - 1st mvt, Figure 5-6 (clarinet and strings)
- 45 - 1st mvt, 6 bars after Figure 6 to Figure 8 (1st and 2nd violins)
- 46 - 1st mvt, Figure 56-59 (clarinets and pizzicato strings)
- 47 - 3rd mvt, 3 bars after Figure 104 to Figure 106 (piccolo, flute, oboe)
- 48 - 3rd mvt, Figure 143 to end (piccolo and flute)
- 49 - 3rd mvt, 7 bars before Figure 117 to 2 bars before Figure 118 (piccolo and flute)

SYMPHONY No. 9

Example No:

- 50 - 1st mvt, 8 bars before letter B to letter C (piccolo part)

AUDIO SAMPLES

In order to support and illustrate both the text and the musical examples of the project, I have selected a few short audio samples of my participation as a piccolo-player in live performances of *Symphonies No. 4, No. 5 and No. 10* as detailed below:

Symphony No. 4, (1st piccolo - Tina Ljungkvist, 2nd piccolo - Helen Benson) 15th September 2015
Gothenburg Symphony Orchestra (GSO), conducted by David Afkham

Symphony No. 5, (piccolo - Helen Benson) 16th April 2012
University of Gothenburg Symphony Orchestra (UGSO) conducted by Lü Shao-chia

Symphony No. 10 (1st piccolo - Helen Benson, 2nd piccolo Aurore Dyé), 18th November 2013
University of Gothenburg Symphony Orchestra (UGSO) conducted by Eri Klas

Due to performing and reproducing rights, only a limited amount of short samples are provided. For the purpose of context and ease of listening, some of the extracts start a few bars earlier and/or finish some bars later than the accompanying score/part examples. The musical examples and audio samples correspond as follows:

AUDIO SAMPLE:	MUSICAL EXAMPLE:	REFERENCE:
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SYMPHONY NO. 4

1	21	1st mvt, opening 5 bars
2	22	1st mvt, Figure 30 first 5 bars
3	23	1st mvt, Figure 46-47
4	25	1st mvt, Figure 18 to 1 bar before Figure 19
5	27	3rd mvt, 7 bars after Figure 191 to 3 bars before Figure 192
6	28	3rd mvt, 4 bars before Figure 199 to 6 bars after Figure 199
7	29	2nd mvt, 6 bars before Figure 128 to Figure 129

SYMPHONY NO. 5

8	34	2nd mvt, 2-4 bars after Figure 66 and 8-9 bars after Figure 68
9	35	1st mvt, 1 bar after Figure 44 to 4 bars after Figure 45
10	39	4th mvt, 3 bars after Figure 131 to end

SYMPHONY NO. 10

11	40	2nd mvt, 3 bars after Figure 75 to Figure 86
12	42	1st mvt, Figure 69 to end
13	47	3rd mvt, 3 bars after Figure 104 to Figure 106
14	48	3rd mvt, Figure 143 to end
15	49	3rd mvt, 7 bars before Figure 117 to 2 bars before Figure 118

LIST OF SOURCES

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AUDIO LECTURES

Professor Robert Greenberg, University of San Francisco Lecture series *Shostakovich - His Life and Music*, 2002, The Teaching Company Limited Partnership. 9 Lectures with excerpts totalling approx. 4, 500 words from Solomon Volkov's *Testimony: The Memoirs of Shostakovich* (see above details) Audio lecture sound files or the "Course Guidebook" notes can be provided upon request

INTERVIEWS

Tina Ljungkvist, (solo-piccolo, *Gothenburg Symphony Orchestra*), recorded backstage at Gothenburg Concert Hall, September 2015

Kenneth Wihlborg, (retired solo-piccolo, *Gothenburg Symphony Orchestra*), recorded backstage at Gothenburg Concert Hall, September 2015

RECORDINGS

During my research, I referred to numerous recordings by many different orchestras through both CDs, Spotify, iTunes and youtube recordings as well as my own live performance recordings as piccolo in the following performances:

Symphony No. 4, (1st piccolo - Tina Ljungkvist, 2nd piccolo - Helen Benson) 15 September 2015
Gothenburg Symphony Orchestra, conducted by David Afkham

Symphony No. 5, (piccolo - Helen Benson) 16 April 2012
University of Gothenburg Symphony Orchestra conducted by Lü Shao-chia

Symphony No. 10 (1st piccolo), 18 November 2013
University of Gothenburg Symphony Orchestra conducted by Eri Klas