ISBN: ISBN 978-952-329-068-6 (PAINETTU)
ISBN: 978-952-329-069-3 (SÄHKÖINEN)
EST (ISSN 1237-4229)

UNIGRAFIA
HELSINKI 2017

SIBELIUS-AKATEMIA

TAIDEYLIOPISTO

TAITEILIJAKOULUTUS
DocMus-TOHTORIKOULU

Kirill Kozlovski

Shostakovich's Preface and Russian Literary Criticism

EST 34

Shostakovich's Preface and Russian Literary Criticism,

or how different forms of chuzhoe slovo such as skaz and polygenetic quotation, as well as some other concepts that were developed by very many distinguished Russian literary scholars – not only by members of Russian formal school and the Bakhtin circle, but also their respected and honourable successors – help to create several peculiar effects, namely contradiction, ambiguity, overloading text with referential connections and – last but not least – verbosity in the Preface to the Complete Edition of My Works and a Brief Reflection apropos this Preface op. 123 for bass voice and piano by Dmitri Shostakovich

KIRILL KOZLOVSKI

EST 34
DocMus-TOHTORIKOULU

TAIDEYLIOPISTON SIBELIUS-AKATEMIA 2017

Shostakovich's *Preface* and Russian Literary Criticism,

Or

how different forms of *chuzhoe slovo* such as *skaz* and polygenetic quotation, as well as some other concepts that were developed by very many distinguished Russian literary scholars – not only by members of Russian formal school and the Bakhtin circle, but also their respected and honourable successors – help to create several peculiar effects, namely contradiction, ambiguity, overloading text with referential connections and – last but not least – verbosity in the *Preface to the Complete Edition of My Works and a Brief Reflection apropos this Preface* op. 123 for bass voice and piano by Dmitri Shostakovich

Kirill Kozlovski

Shostakovich's *Preface* and Russian Literary Criticism, Or

how different forms of *chuzhoe slovo* such as *skaz* and polygenetic quotation, as well as some other concepts that were developed by very many distinguished Russian literary scholars – not only by members of Russian formal school and the Bakhtin circle, but also their respected and honourable successors – help to create several peculiar effects, namely contradiction, ambiguity, overloading text with referential connections and – last but not least – verbosity in the *Preface to the Complete Edition of My Works and a Brief Reflection apropos this Preface* op. 123 for bass voice and piano by Dmitri Shostakovich

EST 34
Sibelius Academy
University of Arts Helsinki

Supervisor of the written thesis:
Professor, PhD Anne Kauppala, Sibelius Academy

Examiners of the written thesis:
Professor, PhD Boris Gasparov, Columbia University
Professor, PhD Pekka Pesonen, University of Helsinki

Custos:
Professor, PhD Anne Kauppala, Sibelius Academy

University of Arts
Sibelius Academy
DocMus Doctoral School

Arts Study Programme
Written thesis
EST publishing series 34

Cover design: Jan Rosström
Layout: Paul Forsell
Printed by Unigrafia, Helsinki 2017
ISSN: 1237-4229
ISBN 978-952-329-068-6 (printed)
ISBN 978-952-329-069-3 (pdf)

ABSTRACT

Kirill Kozlovski:
Shostakovich's Preface and Russian Literary Criticism, or how different forms of *chuzhoe slovo* such as *skaz* and polygenetic quotation, as well as some other concepts that were developed by very many distinguished Russian literary scholars – not only by members of Russian formal school and the Bakhtin circle, but also their respected and honourable successors – help to create several peculiar effects, namely contradiction, ambiguity, overloading text with referential connections and – last but not least – verbosity in the *Preface to Complete Edition of My Works and a Brief Reflection apropos this Preface* op. 123 for bass voice and piano by Dmitri Shostakovich.

Written thesis of the artistic doctoral project
University of Arts Helsinki, Sibelius-Academy, DocMus Doctoral School. EST 34.

The thesis is an analysis of Dmitri Shostakovich's *Predislovie k polnomu sobraniju moih sochinenij I kratkoe razmyshlenie po povodu etogo predislovija* op. 123 using a methodological framework taken from writings of Russian literary critics of the early 20th century and their followers.

In the first chapter several key notions are introduced and contextualised – namely, polygenetic quotation, *skaz* and ambiguity. The claim is stated, that Preface could be analysed in the similar way to Boris Eikhenbaum's analysis of Gogol's *Shinel*.

The second chapter is dedicated to analysing and contextualising four musical polygenetic quotations (Mints) in *Preface*. Quotation sources are mostly works by Mussorgsky (*Boris Godunov*, *Seminarist)* and Shostakovich himself (*Kazn' Stepana Razina*, *Satiry, 13th Symphony).*

In the third chapter parallels are drawn between the *skaz* technique of Mikhail Zoshchenko and certain aspects of *Preface* – both verbal and musical. Verbosity, tautology, usage of bureaucratic lexis as well as similarities of syntactic structures are compared in Zoshchenko's stories and Shostakovich's *Preface*. Verbosity is seen as a metaphoric "death of words", therefore different aspects of death – both artistic or physical – are reflected upon.

The fourth chapter concentrates on analysing and characterising the narrator of *Preface* as well as his relationship to the text and its physical author. Notions of plagiarism, graphomania and death of the author are traced in connection with narrator's figure in *Preface* making use of Shostakovich's biography and verbal texts. A special emphasis is made on the metatextual qualities

of *Preface*. The work is seen as a transition piece in Shostakovich's vocal output – marking a turning point from subjects concerning social to timeless issues of death and artistic creativity.

The last chapter presents a personal overview of the problem of artistic research – against the biographical background of the author, aiming at discharging the whole dichotomy of artistic research versus artistic practice.

Keywords: Shostakovich, intertextuality, Pushkin, skaz, quotation, polygenesis

ACKNOWLEDGMENTS

Finally, after seven years of labour, this is the conclusion of my doctoral project. And since one of the central topics of my thesis is verbosity, I would like to attempt brevity and concision at least once – even if it is only for the acknowledgment part.

Firstly, I thank the DocMus department of the Sibelius Academy, in particular Dr. Tuire Kuusi and Dr. Päivi Järviö for all the support I have received during the last seven years, including a two-year period as a Research Associate.

I am ever grateful to my supervisor, Prof. Anne Kauppala for her support and patience while guiding me through all the stages of my research. She succeeded in being simultaneously strict and inspiring; the the best influence I could possibly have hoped for.

I would like to thank the Dmitri Shostakovich Archive in Moscow for their help with obtaining materials for my research.

For welcoming me to participate in their seminars and for their constructive criticism pertaining to this project, I remain indebted to Prof. Lauri Suurpää, Prof. Tomi Huttunen, Dr. Gennady Obatnin and Prof. Kirill Postoutenko.

Thank you also to Lynne Sunderman for the languistic revision of my thesis, to Paul Forsell for preparing the manuscript for publication and to Jan Rosström for the cover design.

To my parents Elena and Alexander who brought me into this world, supported me at every stage of my life and gave constant encouragement to my academic aspirations; I offer you my deepest gratitude.

Last but not least I would like to thank my wife Laura for her patience, devotion, understanding and love. She truly is, quoting Friedrich Rückert, “mein guter Geist, mein beßres Ich”.

TABLE OF CONTENTS

Chapter 0

Morphology of a certain artistic research tale

Je puis sans doute aujourd'hui
me choisir telle ou telle écriture,
et dans ce geste affirmer ma
liberté, prétendre à une fraîcheur
ou à une tradition; je ne puis déjà
plus la développer dans une
durée sans devenir peu à peu
prisonnier des mots d'autrui et
même de mes propres mots.

(Roland Barthes. *Le Degré zero de l'écriture*)

0.1. Once upon a time

My involvement with the music of Dmitri Shostakovich (1906–1975) started in the year 1995. It was a nice summer afternoon; I was a young, lazy, slightly promising pianist studying at the College of the Belarussian State Music Academy and having doubts about my future as a professional musician. It was the first time I had called my new teacher, Irina Semenyako, about my repertoire for the summer. At our school, every piano student had to play at least two polyphonic works a year, most of which were naturally by J. S. Bach. But to my surprise, my future teacher wanted me to learn a Prelude and Fugue by Shostakovich, the one in E flat minor. My first impression of the work was "How am I going to memorize that fugue?" I had a decent memory at the time and usually learning something by heart was not a problem, but that fugue seemed to play tricks on my memory. It did take me a long time to memorize it – much longer than usual. However, it was not the fugue but the prelude that first introduced to me some intertextual hints, though I did not realize it at the time. Some elements in the prelude constantly reminded me of other experiences: deep bass notes sounded like church bells; the aeolian mode made me think of

Russian orthodox chants; poignant semitones sounded somewhat Jewish. But it was not only the folk tradition; my teacher pointed out to me that the prelude bore certain allusions to the music of Modest Mussorgsky (1839–1881); even the key of E flat minor was the same as in some works by Mussorgsky that I was getting acquainted with at the time – namely the *Serenade* from *Songs and Dances of Death*, the ballade *Забытый* [The forgotten], some pages from *Pictures from an Exhibition* and many passages from *Boris Godunov*.

I was not thinking much of music theory or musicology at that time. The big part of the knowledge our teachers gave us seemed to be schematic and dry – or at least not very relevant for a performing artist. But this link between Mussorgsky and Shostakovich that my teacher pointed me towards was of a different kind. This was knowledge that gave me immediate pleasure and also immediately affected my playing – making it somehow more convincing. I even noticed it myself – after thinking, "well, that should sound like Mussorgsky," I felt less uncertain about the process of performing, as if on a narrow, treacherous mountain path one could find a sure step.

This did not go unnoticed. I did not understand it myself at the time, but some listeners seemed to think that of all the pieces I played that year, it was Shostakovich's Prelude that had some special atmosphere. The Fugue never produced the same effect, but to be honest, its linear, slightly bleak character did not inspire me too much at that time.

Almost three years passed – I was about to start my first year in the piano department of the Sibelius Academy. My new teacher, Hamsa al-Wadi Juris, told me about an upcoming internal competition for pianists at the Academy. Among other pieces, one had to play a work by either Shostakovich or Messiaen. The latter name was barely familiar to me at that time, so I chose Shostakovich, who was in my opinion a safer option. Almost without knowing the music, I picked the Prelude and Fugue in D minor. Learning it posed some problems I was already familiar with: the fugue was extremely difficult to memorize. But this time I was more conscious of the intertextual connections: poignant minor seconds, deep church-bell-like bass notes and the aeolian or dorian minor key reminiscent of folk music were already familiar to me. However, it was not only this prelude and fugue, it was the whole figure of Shostakovich that I felt immensely interested in. I saved up to buy the complete recording of his symphonies (I chose the version by Kirill Kondrashin) as a Christmas gift to myself. I read my first book on the composer, Solomon Volkov's *Testimony*, which made a big impression on me at that time. I was virtually in love with Shostakovich's music, and it is this very love that I have felt for his music ever since.

I constantly ascribed meanings to Shostakovich's music – mainly political ones. Allusions and quotations from Jewish folk music or Russian Orthodox chants – all this seemed to me primarily a way to bring extramusical meaning

into the musical work. The feeling of joy when figuring out a possible quotation or allusion, a hidden meaning, a tongue-in-cheek moment, were enormous. Now I understand that I was eagerly constructing my own version of musical life in Soviet times – based on some very limited and tendencious information about that epoch. In this imagined, black-and-white world, every detail was about opposing the Soviet authorities – the existence of other aspects of life simply did not occur to me. But this was the basis of my interpretation; I was overloading Shostakovich's music in general and the Prelude and Fugue in d minor in particular with external meanings, but it certainly helped me play the music.

Later I learned all of the preludes and fugues by Shostakovich, performing them on several occasions in the year of his centennial anniversary in 2006. I am still extremely grateful to my teacher, Dr Matti Raekallio, for actually almost forcing me to undertake this project. That was a crucial moment in my relationship with Shostakovich's music. Before then my knowledge of his works was rather arbitrary: I had performed several solo and chamber music pieces on stage, some of which were relatively successful, but learning 24 pieces of music with a total duration of some 2,5 hours was life-changing for me. Before that I had thought that the intertextual apparatus Shostakovich used was a mere medium to get a simple political message to the audience, but after confronting all 24 works – almost all of which had some kind of intertextual connections – I started thinking that his real motive might have been a different one. Shostakovich seemed to be able to say a great number of things with intertextuality. As a matter of fact, it started to feel like an intrinsic quality of his music. I came up with a strange thought: what if I did confuse the cause with the consequence? What if intertextual devices as such were more important, more vital to Shostakovich's creativity, than their possible message? Shostakovich's intertextual techniques seemed to convey many more things than criticising authorities – he could parody composers he disliked, pay homage to composers he admired; he could express feelings of love and friendship and share his deepest grief, doubt, despair and indignity – all with different intertextual devices. But whatever the meaning behind those quotations and allusions was, they were still convincing, intriguing parts of musical works.

That was the first time that I began to change my approach towards the problem "Shostakovich and politics", the reason being primarily my own artistic experience. I realized that one cannot base an interpretation of a significant work solely on simple, unambiguous, politically-biased concepts; that would be artistically too narrow-minded. Claims such as "there is a portrait of Stalin in the 10th Symphony", a commonplace in literature about the composer, made me feel uneasy, as if such a catchy slogan was trying to prevent me from seeing something important in the piece. I did not discharge the whole notion of politi-

cal discourse in music, but I desperately tried to see more diverse opinions and ideas. Intertextuality started to appear primarily as an aesthetic device that could potentially enable such diversity – regardless of what the meaning of each given quotation might be. I became convinced that great art is inevitably complex, diverse and ambiguous – because simplemindedness cannot survive the trial of time. That was the start of my search for ambiguity in the music of Shostakovich – although I was not yet conscious of it.

At about that same time, I conceived an idea for a doctoral project for the DocMus department at the Sibelius-Academy. There was no doubt that I wanted to have Shostakovich as my topic, but even at that time it was still more of a feeling than a conscious working towards a certain goal. Thus, the topic of my research was clear, but I had no idea about objectives and methods. I had the "what", but no "how". Music did not seem to provide me with answers, so I found them – one might say accidentally – elsewhere.

0.2. A new turn

Half-seriously, but mainly out of curiosity and despair – having by that time yet again serious doubts about my future as a professional musician – I started preparing for an entrance exam at the University of Helsinki. Though the notion of semiotics was already vaguely familiar to me, I embarked on a somewhat safer road and chose Russian literature as my primary subject. I thus started my studies in 2008 at the department of Slavistics and Baltology. There, within the area of literary criticism, I not only discovered the abstract theoretical framework of humanistic thinking, but also answers and conscious justification for something I had felt so strongly about as a performing musician. This knowledge came mostly from the writings of the Russian Formal School, the circle of Mikhail Bakhtin (1895–1975) and their followers.

By that time my relationship with Shostakovich's music had grown deeper as well. I had played most of his solo piano music, almost all of his instrumental chamber music, both piano concertos and some of the songs. My artistic solutions in interpreting his music were getting more and more assured – both in theoretical and practical ways. My knowledge of Shostakovich's era deepened as well since my interest in his music triggered an interest in Soviet-era Russian literature. After all, Shostakovich did read a lot throughout his life[1], and his knowledge of literature was vast and profound.

The Russian formalists and the Bakhtin circle members seemed to be soul mates to me. To be sure, their terminology was not always consistent, their arguments were not always well-thought-out, and their conclusions were at

1. More on the subject of Shostakovich as a reader can be found in Petrushanskaya (2006, 109–119).

times glowing with polemical ardour. But for me, that made their texts seem all the more like works of art: there seemed to be a genuine unity between the subject of research and the research itself. For me that was – and still is – a model of artistic research. After all many of them were practicing writers themselves; Roman Jakobson (1896–1982) did write *zaum* poetry, Viktor Shklovsky (1893–1984) and Boris Eikhenbaum (1886–1959) wrote prose texts and Yuri Tynyanov (1894–1943) became even more famous among the wider audience as an author of novels and screenplays than with his theoretic writings. Some formalists' texts would not be considered valuable academic references nowadays, but their artistic quality did not fade with the years. Certainly, I am not alone in this opinion.

I can say, that acquaintance with Russian literary criticism did influence my work as a performing artist. I found it rather helpful to think of musical performance in the language of the Formalists and Bakhtin, and this thinking finally provided me with an answer to the question "Why does spotting a quotation trigger such a feeling of joy?" Just as the formalists had dismissed the notion of simplified biographism and started seeing texts not only as reflections of the creator's life but in relation to each other, so I started seeing every piece I played as a part of a complex relationship between texts. Realising this complexity began to give me intellectual pleasure and satisfaction, and I believe I am not alone in that regard. However, I am conscious of the dangers of this approach: after all, texts do not read each other, as one of my colleagues quite wittingly pointed out[2]. But my artistic justification is not an impeccable string of logical thinking but rather a musically convincing result.

The artistic quality of the text became the main principle behind my choice of methodology. I did not limit myself to the Formalist or Bakhtin-circle writings of 1910–1920s because in spite of the political situation in the Soviet Union, their ideas did not cease to exist: in fact, people such as Yuri Lotman (1922–1993), Zara Mints (1927–1990), Mikhail Gasparov (1935–2005) continued to develop their ideas rather successfully. A good example of a Western continuation of Formal School ideas is the work of Kirill Taranovsky (1911–1993), who came into close contact with the members of the Prague linguistic circle, led by Roman Jakobson in the 1930s. This partly explains my selection of quoted theoretical texts: I have a strong feeling that this choice is artistically justified since most (if not all) of these writers have one thing in common, namely, a strong artistic dimension in their writings. This is something I personally value a lot and something I aspire to achieve myself.

2. This notion has been brought to me by prof. Kirill Postoutenko (University of Aarhus) and stems from a private conversation between prof. Postoutenko and dr. Dmitri Zakharine (University of Konztanz), where Gerard Genette's writings were discussed.

0.3. Formalism

The very form of my thesis is a certain homage to the Formal School, the Bakhtin circle and their followers. There were several significant examples of "one-text-analysis" in the history of humanistic research, one classic example of which was Roman Jakobson and Claude Lévi-Strauss's (1908–2009) study of Baudelaire's "Les Chats" (Jakobson & Lévi-Strauss 1987, 180–197). In fact, this strategy was also successfully applied to Shostakovich's music; David Fanning's *The Breath of the Symphonist: Shostakovich's Tenth* (1988) and *Shostakovich: String Quartet No. 8* (2004) have become classics of Shostakovich research. Another inspiration for me has been Esti Sheinberg's *Irony, Satire, Parody, and the Grotesque in the Music of Shostakovich: A Theory of Musical Incongruities* (2000), which in some way is also a one-text-analysis.

Both the 10th Symphony and the 8th Quartet are unquestionable landmarks in Shostakovich's creative output, so it is not surprising to dedicate a whole book to one text. In my case, the piece in question is a short vocal work with no obvious significance for a wider audience, and my main justification is once again an artistic one: Shostakovich's *Предисловие к полному собранию моих сочинений и краткое размышление по поводу этого предисловия* [*Preface to the Complete Edition of My Works and a Brief Reflection apropos this Preface*] op. 123[3] made a lasting impression on me since I first became acquainted with this work by listening to the recording by Yevgeny Nesterenko and Yevgeny Shenderovich. The feeling was comparable to my sensations of 1995 and 1998 after the first encounters with Shostakovich's music. Later I understood that *Preface* could be a perfect playground for testing my ideas. Its genre, its form – all of these are firmly rooted in the area of verbal media. Approaching this work as simply one of many Shostakovich's songs for voice and piano did not seem to be creative and artistic enough, but applying notions and methods from literary criticism and viewing the text against a historical backdrop of Soviet literature seemed fruitful and provided immediate results.

The structure of my thesis is inspired by literary criticism from 1910–1920s. The chapter headings refer to texts that I admire deeply. Key notions such as *skaz* and polygenetic quotation are taken directly from the writings of Bakhtin, Mints or Eikhenbaum among others. I also hope that this short introduction (one can call it a preface – pun intended) can at least partly explain my motivation and justify my methods.

0.4. A strange preface at a strange time

Dmitri Shostakovich composed *Preface to the Complete Edition of My Works and a Brief Reflection apropos this Preface* for bass voice and piano op. 123

3. I subsequently refer to this work simply as *Preface*.

in 1966. Sofya Khentova (1996, 79) mentions that *Preface* was composed on 2 March 1966, and Shostakovich's hand-written manuscript of the work bears the same date. Shostakovich (1993, 210) himself mentions *Preface* as an already-finished work in a letter to Isaac Glikman written on 20 March 1966. I will return to the subject of this text's creation in Chapter 4, but in order to make my future claims easier to understand, I would like to first provide the reader with the verbal text of the *Preface* in the way that Shostakovich himself wrote it in a letter to Isaak Glikman as well as with Malcolm MacDonald's English translation (1982, 135), albeit with some alterations that I considered appropriate and more suitable to the original text:

> Мараю я единым духом
> лист.
> Внимаю я привычным ухом
> свист.
> Потом всему терзаю свету
> слух,
> Затем печатаюсь, и в Лету –
> бух!
>
> Такое предисловие можно было б написать не только к полному собранию моих сочинений, но и к полному собранию сочинений многих, очень, очень многих композиторов, как и советских, так и зарубежных.
>
> А вот и подпись:
>
> Дмитрий Шостакович, народный артист СССР. Очень много и других почетных званий. Первый секретарь Союза композиторов РСФСР, просто секретарь Союза композиторов СССР, а также очень много других весьма ответственных нагрузок и должностей. (Shostakovich 1993, 210.)
>
> I besmirch a page in a single breath.
> I listen to whistling with an accustomed ear.
> I torment the ears of the world around me.
> Then I publish, and bang into oblivion.
>
> Such a preface could have been written not only to the complete edition of my works, but also to the complete edition of the works of very many other composers, Soviet as well as foreign. So, here's the signature: Dmitry Shostakovich, national artist of the USSR, and recipient of many other honourable titles: first secretary of the Union of composers of the RSFSR, and secretary of the Union of composers of the USSR. There are also many other very responsible commitments and obligations. (Based on MacDonald 1982, 135.)

The verbal text of *Preface* can be divided into three parts. The first part consists of a slightly altered quotation from Alexandr Pushkin's poem "История стихотворца" ["History of a Versifier"]. The second part is a reflection on this epigram, and the third is a disproportionally long signature. The first part of the verbal text corresponds to bars 1–33 in the music, the second to bars 34–82 and the third, signature part from bar 83 to the end of the piece.

Chapter 1

How the *Preface to the Complete Edition of My Works* was made

1.1. Objectives

The main goal of this work is to trace similarities among certain concepts described in the writings of the Russian Formal School of literary criticism and the Bakhtin circle and their followers with some qualities of Dmitri Shostakovich's work for bass voice and piano called the *Preface to the Complete Edition of My Works and a Brief Reflection apropos this Preface* op. 123. I claim that it is possible to see Shostakovich's *Preface* in a similar way to Boris Eikhenbaum's analysis of Nikolay Gogol's (1809–1852) prose, as described in his study *Как сделана "Шинель" Гоголя* [*How Gogol's "Overcoat" is made*]. In the case of Shostakovich, this strategy of creating text results in a certain type of ambiguity within the text. I describe this ambiguity and the strategy used for its creation later in this chapter.

I believe that this strategy manifests itself in both verbal and musical parts of the *Preface*. A researcher typically analyses those parts separately and then compares both conclusions. In the case of *Preface*, however, the situation is simplified by the fact that the author of the music and the verbal text is the same person (which is a relatively rare case in general). Since the composer and the poet of *Preface* are one and the same person, there is no reason to expect the typical semantic tensions and ambiguities that inevitably appear in setting someone else's words to music. Therefore, I treat the verbal and musical sides of *Preface* as different levels of the same textual entity, subordinated to the same creative idea.

Here I should stress that my study concentrates mainly on typological similarities. This means that possible personal and historical connections between Shostakovich and prominent literary critics of the time are of lesser importance to me than the similarities between the texts and ideas themselves. In other words, I do not concentrate on tracing the ways that the composer could have been introduced to certain ideas or whether the similarity manifested in the texts is conscious or not. Rather, I focus on describing the similarity in

question and making certain analytical conclusions.

I know of no direct and definitive evidence that Shostakovich consciously used ideas introduced by members of the Formal School or Bakhtin's ideas as inspiration for his creativity. There are however several indirect indications that he could have had certain contact with those ideas through Ivan Sollertinsky (1902–1944) and Boris Asafyev (1884–1949) and maybe even Yuri Tynyanov among others. Esti Sheinberg (2000) gives a thorough account on possible connections among "formalists", the Bakhtin circle and the composer. As Sheinberg points out, the expression "literary montage" used by Shostakovich in the authorial preface to the first edition of his opera *The Nose* can be seen as an unambiguous reference to the ideas of the Formal School. Another channel between formalists and Shostakovich could have been through the so-called FEKS-group, led by film directors Grigory Kozintsev and Leonid Trauberg.[4] Their silent film version of Gogol's novel *Overcoat* made in 1926 was largely influenced by formalist aesthetics. The script was written by Tynyanov, and Eikhenbaum was invited as a consultant. Later Kozintsev stated that it was precisely Eikhenbaum's study *How Gogol's "Overcoat" is made* that the audience of the time saw as a model for the *Overcoat*-movie (Kozintsev 1973, 169). Shostakovich most likely saw the film, and two years later, in 1928, he began a close collaboration with the FEKS-group, starting by writing a score to their silent film *The New Babylon*. However, since my interest lies primarily in typological similarities, the actual degree of Shostakovich's acquaintance with the writings of Formal School is of secondary importance to this study.

1.2. Anecdote and skaz-technique

Here, I make a brief overview of Eikhenbaum's ideas, as presented in the article *How Gogol's "Overcoat" is made*, that are relevant for my research. In the very beginning Eikhenbaum claims that Gogol's organization of text is not typical for a novel. The plot as such is "poor" and does not define the composition of the work:

> Композиция у Гоголя не определяется сюжетом — сюжет у него всегда бедный, скорее — нет никакого сюжета, а взято только какое-нибудь одно комическое (а иногда даже само по себе вовсе не комическое) положение, служащее как бы только толчком или поводом для разработки комических приемов. (Eikhenbaum 1919, 151–152.)

> Gogol's composition is not defined by the plot – his plot is always poor, or rather – there is no plot, but a certain comical situation (and sometimes not

4. The subject of the relationship between FEKS and formalists has been relatively well researched (Zhuk 2007).

> even that comical), that becomes a reason or an impulse for developing comical devices.[5]

This "comical device" can be a pun, a word play, a funny name, an alliteration. Sometimes these devices grow into a size of an anecdote. Anecdote is thus a borrowed utterance not generated by the writer himself. Eikhenbaum quotes Gogol's letter to Pushkin:

> Сделайте милость, дайте какой-нибудь сюжет, хоть какой-нибудь смешной или несмешной, но русский чисто анекдот... Сделайте милость, дайте сюжет; духом будет комедия из пяти актов и — клянусь — куда смешнее чорта! (Eikhenbaum 1919, 152.)

> Do me a favour: give me a plot, any kind of plot – funny or not, but a purely Russian anecdote. Do me a favour, give a plot; in the blink of an eye I will make it into a comedy in five acts and – I swear – it will be funny as hell!

This clearly indicates the secondary role of plot in the composition of the *Overcoat*. Thus, a plot or a part of a plot, according to Eikhenbaum, is mainly an impulse for developing different literary devices. It also indicates that the anecdote does not have to be an original idea. According to Gogol's note, it is the writer's task to make a play out of an anecdote; the origin of the anecdote is not relevant; borrowing it from someone is anything but plagiarism.

A pun or even an anecdote alone is not sufficient for constructing a novel, however. Comical devices need to be linked to each other. This function is fulfilled by a certain narrative technique called *skaz*. Eikhenbaum does not give a separate definition of this technique in his study. Later his colleague Viktor Vinogradov thus defined *skaz* in his work *Проблема сказа в стилистике* [*Problems of skaz in stylistics*]:

> Сказ – это своеобразная литературно-художественная ориентация на устный монолог повествующего типа, это – художественная имитация монологической речи, которая, воплощая в себе повествовательную фабулу, как будто строится в порядке ее непосредственного говорения. (Vinogradov 1980, 49.)

> *Skaz* is a certain literary artistic orientation on an oral monologue of a narrative kind. It is an artistic imitation of monologue speech that encompasses a narrative plot, built as if in a process of extemporaneous talking.

Although Eikhenbaum does not provide his own definition of *skaz* in the article in question, he nevertheless describes several kinds of *skaz*, likening them to Gogol's own manner of recitation:

---

5. All translations into English are by Kirill Kozlovski unless otherwise stated.

> ...сказ приобретает характер игры, и композиция определяется не простым сцеплением шуток, а некоторой системой разнообразных мимико-артикуляционных жестов. (Eikhenbaum 1919, 151.)
>
> Skaz is enriched by some qualities of a play, and composition is defined not by simply linking one joke to another but by a certain system of different mimic-articulative gestures.

Thus, the main feature of *skaz* is an imitation of an oral monologue – which is different from the authorial voice as such. It has oral speech as its model and therefore creates a strong feeling of an implied narrator-storyteller. This can also be seen as a certain stylistic reference to an external context. In this case, both pun or anecdote and the *skaz* narrative technique can be seen as cases of *chuzhoe slovo*.

1.3. Chuzhoe slovo

A clear definition of *chuzhoe slovo*[6] (a possible translation could be "someone else's utterance") can be found in Voloshinov's work *Marxism and the Philosophy of Language*:

> "Чужое слово" мыслится говорящим как высказывание другого субъекта, первоначально совершенно самостоятельное, конструктивно законченное и лежащее вне данного контекста. Вот из этого самостоятельного существования чужая речь и переносится в авторский контекст. (Voloshinov 1929, 136–137; quoted in Mints 1999, 362.)
>
> "Chuzhoe slovo" is thought by the speaker as an utterance by another person, originally fully independent, constructively finalized and situated outside of the given context. Out of that independent existence it is transported into a context of the author.

Zara Mints in her article "Функция реминисценций в поэтике А. Блока" ["Function of reminiscences in Aleksandr Blok's poetics"] (1999, first published in 1973) distinguishes between two types of *chuzhoe slovo*, depending on context. The first type contains a reference to a text (and according to Lotman (1970, 255–265), text in this case refers to a finalized, "framed" entity with a beginning and an end), and thus is juxtaposed with speech discourse, which is not limited by frames, has no clear beginning and no ending. In other words, quotation from a novel by Gogol would be an example of the first type; imita-

6. I deliberately avoid using a term "intertext" for describing this phenomenon. Though its roots lie in the works of Mikhail Bakhtin or the so called "Bakhtin circle" that included Medvedev and Voloshinov, nowadays the term is so overloaded with different meanings and connotations that a simple and unambiguous use becomes difficult.

tion of a speech style, a characteristic for a certain social group, would belong to a second type.

> Контекст, из которого берется "чужое слово", может мыслиться либо как неотграниченная речь, либо как текст. "Чужое слово", воспринимаемое как представитель какого-либо текста, есть цитата. Поэтому цитата всегда берется из текста на том или ином "вторичном" языке (языке литературы, науки, публицистики и т. д.), другие же виды "чужого слова" соотносятся с речью на каком-либо естественном языке и связаны со стилевыми, социальными и другими его разновидностями. Поскольку цитата дает отсылку к тексту, а иные виды "чужого слова" — к неоформленной речи, именно цитаты могут выполнять функцию "культурных символов", в то время как в остальных случаях речь идет о воспроизведении высказываний, как бы "взятых из самой жизни", о своего рода "реалиях", денотаты которых — речь живых людей. (Mints 1999, 362.)

> Context, in which "chuzhoe slovo" is taken out, can be thought of as speech that is not framed by borderlines or as a text. "Chuzhoe slovo", perceived as a representative of a text, is a quotation. Therefore, a quotation is always taken out of a text in some "secondary" language (e.g. literature, science, journalism), and other types of "chuzhoe slovo" relate to speech in some primary language and are linked with its stylistic, social and other variations. While other types of "chuzhoe slovo" refer to unframed speech, quotations refer to text, and it is for this very reason that quotations can function as "cultural symbols", whereas other cases are replications of utterances taken from real life.

Thus both anecdote and *skaz*, used as textual strategies, suit the definition of *chuzhoe slovo*. Anecdote, for example, is a specific text denoted, in case of *skaz* – a certain speech style characteristic that are borrowed and referred to. Eikhenbaum describes this as following:

> Своим действующим лицам в "Шинели" Гоголь дает говорить немного, и, как всегда у него, их речь особенным образом сформирована, так что, несмотря на индивидуальные различия, она никогда не производит впечатление бытовой речи, как, например, у Островского (недаром Гоголь и читал иначе) — она всегда стилизована. (Eikhenbaum 1919, 158–159)

> Gogol does not let his characters in "Overcoat" talk much. As usual in his works, those characters' speech is formed in a certain way so that despite individual differences, it never creates an impression of ordinary speech; as opposed to Ostrovsky's characters' speech (not coincidentally, Gogol even recited his works differently), Gogol's characters' speech is always a stylization.

Mints agrees, calling *skaz* a non-quotational *chuzhoe slovo*:

> "Чужое слово" нецитатного типа ("сказ", несобственно-прямая речь) всегда отличается от "своего" стилевой окраской, интонационно-синтаксической (или иной, но всегда выраженной лингвистическими средствами) структурой высказывания (Mints 1999, 365.)
>
> "Chuzhoe slovo" of the non-quotational kind ("skaz", indirect free speech) always differs from an author's own speech by its stylistic flavour, intonational and syntactic (or other, yet always expressed via linguistic means) structure of utterance.

The same can be said about Shostakovich's *Preface*. I claim that the composition of this work is similar to Gogol's composition as described by Eikhenbaum. The role of pun or anecdote is fulfilled in Shostakovich's text by *polygenetic quotations* (more on the subject of polygenesis cf. Section 1.5). The polygenetic quotations in *Preface* are linked together by a device resembling the literary *skaz* technique. Use of quotations and the composer's way of connecting them are two main features of Shostakovich's *Preface* relevant to my research – and two main devices of its composition. But before examining those two devices closer, I would like to reflect briefly on a broader subject of quotation in general and musical quotation in particular.

1.4. Quotations

The notion of quotation in music is problematic. Obviously not every similarity is a quotation. Sometimes similarity between two works can be purely coincidental. Sometimes the work in question can contain certain well-known gestures or topics but not quotational references to a specific work. Occasionally two works can sound rather different and yet give the impression that one is quoting the other. Furthermore, the dividing lines between plagiarism, quotation, allusion and parody are often blurred. Different composers have different approaches to quotation. Some composers eagerly acknowledge their own intertextual approaches; some get extremely irritated when a case of intertextuality is suggested. A good example of the latter case is Galina Ustvolskaya (1919–2006), a former student of Shostakovich, whereas Shostakovich himself could serve as a perfect example of the former category. However, I will not dwell too long on the subject of musical quotations in general since I am primarily interested in the specific ways that Shostakovich uses the quotation technique.

There were several guidelines I tried to follow in sorting out quotations from other similarities. It is sensible to assume that usually a quotation takes place when the composer openly admits to quoting. I deliberately use the word "usually" since we know at least of one occasion when Shostakovich mentioned

quoting a work by another composer in a work of his own where no quotation has yet been found: the *Пять романсов из журнала "Крокодил"* [*5 romances from "Krokodil"-magazine*] op. 121. In a letter to Isaac Glikman, Shostakovich claimed to have included a quotation from Tchaikovsky's *Queen of Spades* in one of the songs (Shostakovich 1993, 206). So far no musicologist has been able to spot this quotation, which may have been a deliberate mystification.

Another guideline for me has been previous knowledge of already-spotted quotations in Shostakovich's music and my own attempts to disclose a possible logic behind his use of quotations. It is well-known that Shostakovich extensively quoted his own pieces – the 8th String Quartet is prominent but certainly not the only example. One of the most peculiar cases of this kind is described by Ivan Sokolov, who discovered a chain of quotations in the 3rd movement of Shostakovich's Viola Sonata op. 147, where the composer quotes all of his 15 symphonies in chronological order (Sokolov 2006, 43–45).

There is also a selected group of works by certain composers that Shostakovich was particularly attached to and quoted frequently in his own works. Based on the composer's letters and other evidence, we can name Mussorgsky's *Boris Godunov*, Mahler's *Das Lied von der Erde*, several pieces by Tchaikovsky and Alban Berg, Galina Ustvolskaya's Clarinet Trio, Bizet's *Carmen* and several other works among those frequently quoted sources. The reasons for quoting could vary, but his life-long attachment to certain works and certain composers remained. I was inspired to take this into consideration when making my own conclusions.

Quite often a quotation – both in literature and in music – differs from its environment in some way, as if its goal is simply to draw attention to itself. Of course, sometimes a quotation is meant to be "invisible", but the usual case is the opposite one, when the audience – whether all listeners or a select few – does notice the distortion or incongruence in the texture. Here I once again follow the footsteps of formalists, mainly Yuri Tynyanov, who even introduced a neologism of his own for such structural incongruences and distortions in texts: *невязка* (Tynyanov 1977, 201).

My main guideline, however, did not come from a theoretical work but from an artistic one. It is a lengthy essay *Разговор о Данте* [*Conversation about Dante*] by Shostakovich's great elder contemporary, poet Osip Mandelshtam (1891–1938). Unfortunately, it is almost impossible to translate this subtle word play into English, but the quote reads thus:

> Цитата не есть выписка, цитата есть цикада. Неумолкаемость ей свойственна. Вцепившись в воздух, она его не отпускает. (Mandelshtam 1987, 113.)

> A quotation is not a note, but rather a cricket. It is not in its nature to be silent. It clutches the air and does not let it go.

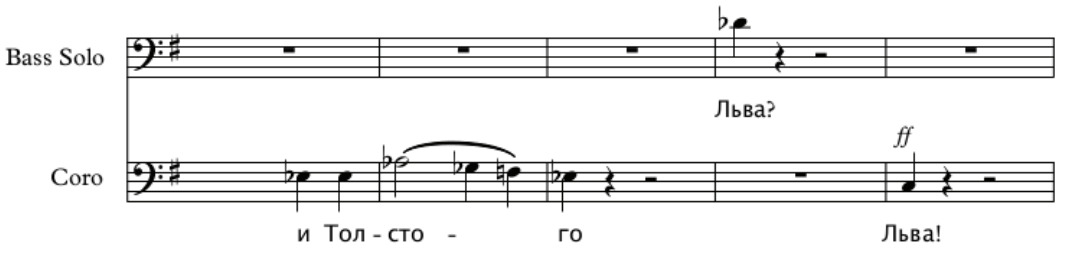
In other words, my ultimate justification in spotting a quotation has been my own artistic intuition, supported but not substituted by rigorous scholarship.

Returning to *Preface*, I examine both verbal and musical quotations in the piece without making a methodological distinction between the two. An example of a verbal quotation would be including – and slightly altering – Aleksandr Pushkin's poem "History of a Versifier" as a part of the verbal text of *Preface*.

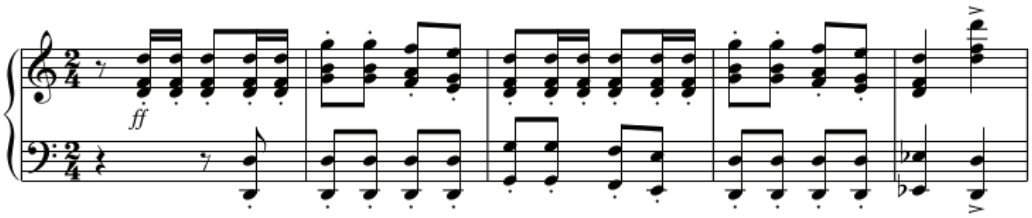
Внимает он привычным ухом Свист; Марает он единым духом Лист; Потом всему терзает свету Слух; Потом печатает — и в Лету Бух!	Мараю я единым духом лист. Внимаю я привычным ухом свист. Потом всему терзаю свету слух, Затем печатаюсь, и в Лету – бух!
He listens to whistling with an accustomed ear. He besmirches a page in a single breath. Then he torments the ears of the world around. Then he gets into print, and bangs into oblivion. (Pushkin, "History of a Versifier", 1819)	I besmirch a page in a single breath. I listen to whistling with an accustomed ear. I torment the ears of the world around me. Then I publish, and bang into oblivion.. (Shostakovich, *Preface*, bars 1–29)

An example of a musical quotation could be a motive from the 5th movement of his 13th Symphony that is quoted in the *Preface*:

Music example 1.1. Shostakovich, 13th Symphony, 5th movement, bars 275–278.



Music example 1.2. Shostakovich, *Preface*, bars 31–33.



I would like to stress that I will not examine all the aspects of those quotational appearances. I am mostly interested in the referential quality of those quotations and their functions as links between texts. The text from which a quotation is taken will be considered a subtext, the notion of which stems from Kirill Taranovsky's works on Osip Mandelshtam's poetry:

> Если определить контекст, как группу текстов, содержащих один и тот же или похожий образ, подтекст можно формулировать как уже существующий тест, отраженный в последующем, новом тексте. Как показывает мандельштамовский пример из Некрасова, дойдя до девятой строфы "Власа", мы начинаем слышать и пушкинский голос, и не только вторую строфу из знаменитой баллады о бедном рыцаре, - мы вспоминаем и весь ее текст. Таким образом, в этом случае подтекст метонимически связывает оба текста, последующий с предыдущим. (Taranovsky 2000, 31.)

> If the context can be described as a group of texts containing the same or a similar image, the subtext can be defined as an already existing text that is reflected in the new, subsequent text. As Mandelshtam's example from Nekrasov shows, by the time we get to the ninth strophe of "Vlas", we start hearing Pushkin's voice, and not only the second strophe from the famous ballad about a poor knight; instead, we recall its whole text. Thus, in this case the subtext metonimically links both texts, the preceding with the following one.

For example, a quotation from the final movement of Shostakovich's 13th Symphony used in the *Preface*, makes the whole 13th Symphony a subtext for the latter work.

1.5. Polygenesis

Shostakovich's use of quotations in the *Preface* is rather peculiar. His quotations are *polygenetic* by nature, i.e. they stem from more than one source. The term "polygenetic quotation" was introduced by Zara Mints in the article "Функция реминисценций в поэтике Ал. Блока" ["The Function of reminiscences in Al. Blok's poetics"]. The idea of polygenesis in Blok's poetic output

was taken by Mints from V. Zhirmunsky's study of Blok's play *Роза и крест* [*Rose and Cross*], suggesting:

> ...возможность своеобразного "полигенезиса" – несколько поэтических источников, одновременно притянутых жизненным переживанием. (Zhirmunski 1964, 77–78; quoted in Mints 1999, 375.)

> ...the possibility of certain "polygenesis" – several poetic sources simultaneously pulled together by real experience.

Mints further elaborates on that idea, claiming that:

> Полигенетичность способствует появлению художественной многозначности слова — непременного условия возникновения символа. В художественный текст полигенетичная цитата приходит как представитель нескольких текстов, в каждом из которых она получила свой, окказиональный смысл. Но, будучи знаком этих нескольких текстов одновременно, их "сокращенной программой", такая цитата сохраняет в свернутом виде и все значения, которые она в них ранее приобрела. (Mints 1999, 375)

> A polygenetic quality helps the word to become artistically polysemantic – which is a necessary condition for the appearance of a symbol. The polygenetic quotation enters the text as a representative of several texts, which then acquires its own meaning accumulated from each of the others. However, being a sign, a "short synopsis" of several texts simultaneously, such a quotation keeps all its previously acquired meanings even in this "shortened", folded form.

In summary, a polygenetic quotation stems from more than one source and therefore refers to more than one subtext at a time. It is also important that a polygenetic quotation does not refer only to part of the quoted source; rather, as a "short synopsis", it refers to the whole source text (or subtext) in its entirety. Therefore, when Shostakovich happens to quote the orchestral introduction to Mussorgsky's *Boris Godunov*, the subtext is not only the introduction as such but the whole opera.

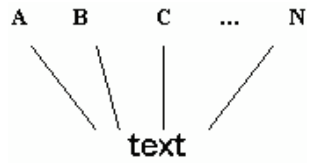
Mints describes two methods of creating polygenetic quotations. One can be called a "quotational montage", mounting together quotations from different sources. This method can be called "syntactic" since the complicated referential quality is achieved by adding together simple, non-polygenetic quotations.

The other method is selecting certain images that simultaneously refer to several sources which are invariants of the same idea. This method can be called "paradigmatic". Mints uses Blok's article "Безвременье" ["In between times"] as an example (Mints 1999, 377–378). Blok uses an image of a tired horseman in a swamp and repeats it twice, thus signalling its importance to the idea of the article. This image cannot be understood by means of intrinsic tex-

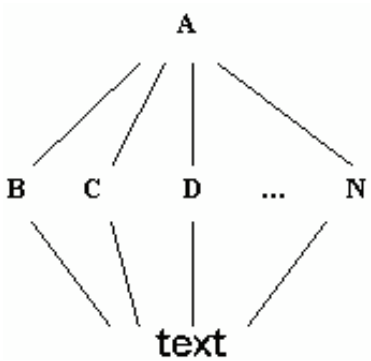
tual analysis. As Mints suggests, it refers to an essay by Blok's friend Yevgeny Ivanov "Всадник. Нечто о городе Петербурге" [Horseman. Something about St. Petersburg as a city], where the horseman is described as "bronze". This in turn is a quotation from Pushkin's poem *Медный всадник* [*The Bronze Horseman*] and therefore refers to the whole semantic complex of St. Petersburg and Peter the Great. But the image of a Horseman in a swamp also has another source, namely Dostoyevsky's novel *Подросток* [*The Adolescent*]. Mints claims that all of the above-mentioned sources are vital to understanding Blok's image of a horseman in a swamp, but that any one of them alone would not be sufficient for a proper understanding of the passage in question.

I see the second method as a primary quoting strategy in Shostakovich's *Preface*. Most of its quotations are indeed polygenetic and paradigmatic, meaning that referential density is achieved by short quotations that refer to several sources simultaneously. The referential relationships of quotation and source as well as between different sources of one quotation can vary. Mints makes another important distinction between the two types of paradigmatic polygenetic quotations, based on a character of these relationship with their sources.

Type 1 can be described as a quotation referring to several subtexts that are not connected to each other, where sources are independent and only linked in the author's consciousness. On the diagram, A, B, C etc. represent subtexts:



Type 2 can be described as a quotation referring to several subtexts that can be hierarchically divided into the source text and derived texts:



Thus the line of generic continuity can be divided into three stages: a source text, intermediate stage texts and the final text containing the polygenetic quotation.

It is also possible to find combinations of both types, thus forming varying types of complicated relationships between quotations and subtexts. Intermediate stage texts can also serve as sources of their own. The important factor for Mints is a certain "game" – a semantic tension that evolves among all the texts included.

1.6. Skaz as device

Although the notion of *skaz* is very widely used in literary criticism, its precise definition has not been an easy one to formulate. Therefore, a short introduction to the history of this notion is in place. My introduction is largely based on Jeremy Hicks's exhaustive account of this topic in *Mikhail Zoshchenko and the Poetics of 'Skaz'* (2000, 1–55).

Originally the dialect word *skaz* was used to describe a folk story or narration. But in 1881, Nikolai Leskov's novel *Сказ о тульском косом Левше и о стальной блохе* [*The Tale of the Cross-Eyed, Left-Handed Craftsmen from Tula and the Steel Flea*][7] marked the beginning of the assimilation of *skaz* from folklore into literature (Hicks 2000, 19).

The next important date is 1918, when Boris Eikhenbaum published his article "Иллюзия сказа" ["Skaz Illusion"]. There the word *skaz* became one of the main terms for the members of Formal School used – alongside *zaum* and *ostranenie*. So, as Hicks justly points out, already by that time the word *skaz* could mean three different phenomena: a folklore genre, a folkloric stylisation and a literary device (Hicks 2000, 30). And it is the last definition, e.g. *skaz* as a literary device, that I find interesting and useful for my research, although it certainly contains traces of previous use of this word and includes certain aspects of *skaz* as folklore and *skaz* as folklore stylisation.

There are two *skaz* definitions that I would like to quote here. One can be found in Eikhenbaum's 1925 article "Лесков и современная проза" ["Leskov and Contemporary Prose"]:

> Под сказом я разумею такую форму повествовательной прозы, которая в своей лексике, синтаксисе и подборе интонаций обнаруживает установку на устную речь рассказчика (Eikhenbaum 1987, 413).
>
> By skaz, I mean that form of narrative prose which in its lexis, syntax and selection of intonations reveals an orientation towards the oral speech of the narrator (translation by Hicks 2000, 21).

7. *Skaz* in this case is just a dialect word for "tale".

Here Eikhenbaum stresses the stylisation aspect of *skaz*; for him *skaz* narration feels different from an authorial narration, the storyteller in a *skaz* is supposed to have a voice different from the one that is – for various possible reasons – associated with the author.

Another definition comes from Mikhail Bakhtin. He criticises Eikhenbaum for stressing the oral speech side of *skaz* and emphasizes that *skaz* is not only simply an oral speech imitation, but an imitation of someone else's speech:

> … в большинстве случаев сказ есть прежде всего установка на чужую речь, а уж отсюда, как следствие, - на устную речь.
>
> Для разработки историко-литературной проблемы сказа предложенное нами понимание сказа кажется нам гораздо существеннее. Нам кажется, что в большинстве случаев сказ вводится именно ради чужого голоса, голоса социально определенного, приносящего с собой ряд точек зрения и оценок, которые именно и нужны автору. (Bakhtin 1994, 90.)
>
> … in most cases skaz is oriented towards a speech by another [чужой], and only then – as a result – towards and oral speech.
>
> For development of skaz as a historical and literary problem, our notion of skaz seems to be more significant. We tend to think that in most cases skaz is introduced precisely for the sake of the voice of another, which is socially defined, therefore bringing to life some points of views and evaluations that the author needs.

That is the reason why Zara Mints (1999, 365) considered *skaz* a variation of *chuzhoe slovo*. Indeed, it is usually impossible to pinpoint a specific text that *skaz* could be referring to. But it always has a distinctive quality of *chuzhoe slovo* – not referring to a text, but to a certain, socially defined speech discourse that is different from one that the audience could ascribe to the author.

By the time Shostakovich wrote *Preface*, *skaz* has been already widely researched by Bakhtin, Eikhenbaum and their colleagues. It might be a coincidence, but I would still like to mention, that most of the writers whose works were favoured as material for *skaz* research were also among Shostakovich's personal favourites: both as a reader and as a composer interested in setting verbal texts to music. Both Shostakovich's finished operas are based on texts by Nikolay Gogol and Nikolay Leskov (1831–1895), arguably two most significant explorers of *skaz* in the 1800s. Even more important was Shostakovich's life-long affinity with works of Mikhail Zoshchenko (1894–1958). Zoshchenko was considered among the masters of *skaz* technique in the Soviet times – alongside Alexey Remizov (1877–1957), Yevgeny Zamyatin (1884–1937), Isaac Babel (1894–1940) and others. Vinogradov in his article "Язык Зощенки"

[Zoshchenko's language] even states that "Основная форма речи у Зощенки – 'сказ'" [*skaz* is the main form of Zochshenko's speech] (Vinogradov 2003, 266). Therefore, I will not concentrate on all possibilities and variations of *skaz* but rather limit myself to similarities between Shostakovich's music and certain features Zoshchenko's *skaz* in Chapter 3.

1.7. Ambiguity in Shostakovich's music

My main claim in this section is that there is ambiguity in some of Shostakovich's works and particularly in *Preface*; furthermore, this ambiguity is not an intrinsic quality, but rather an intertextual, *referential* one. The audience is presented with several subtexts via a polygenetic quotation, and the choice of interpretation is not between possibilities which derive from the intrinsic structure of the text, but between several contexts of interpretation that are connected to each other by means of intertextual devices. This kind of referential ambiguity can be a planned device and therefore constitutes an ultimate goal of the text.

The problem – an impossibility of providing a single complete and unambiguous interpretation of a certain work – has already being posed in research literature in connection with Shostakovich's music. A good example could be his 5th Symphony. Elisabeth Wilson expresses an opinion that it was precisely in that very work, where Shostakovich deliberately used the principle of ambiguity for the first time:

> So it was that in the Fifth Symphony Shostakovich learned the art of saying many different things simultaneously. Extraneous material could be incorporated into a thematic concept and then submerged as an arcane signal to a secondary level. In his ability to weave external stimuli into the stylistic fabric of his composition, Shostakovich unified his material into a single overall concept. This unusual way of integrating quotation into music soon became second nature to him, and was a key feature in his composition from 1936 onwards, especially in the works of his later period. (Wilson 2012, 10.)

Irina Stepanova in her article "'Надо заимствовать у настоящих мастеров', или К проблеме интертекстуальности в творчестве Шостаковича" ["'One Should Borrow from Real Masters', or About a Problem of Intertextuality in Shostakovich's Output"] also mentions the 5th Symphony as an example of ambiguity:

> Какие только смыслы ей не приписывали! Начали с концепции завоеванного оптимизма. Это – в советские времена. Потом обнаружили малеровские параллели, о чем, в частности, писала Доротея Редепеннинг.

> Правда, она отметила лишь самые общие моменты сходства, между тем как осталось нераскрытым очевидное воздействие финала Первой симфонии Малера на финал Пятой симфонии Шостаковича, который в целых блоках воспроизводит алгоритм малеровского финала почти буквально. Потом осознали, что симфония-утопия имеет явные черты антиутопии. В это понимание вписывается толкование И.А. Барсовой, ставшее подлинным открытием в музыкознание 90-х годов, так же как и версия самого М. Арановского – через неожиданные глинкинские параллели. Дальше уже настоящая сенсация, так как последняя трактовка – по времени и очередности – уже выходит за пределы привычной социальной тематики: песнь любви. "Симфония – гигантская парафраза на 'Кармен'", – утверждает А. Бендицкий, а М. Якубов развивает эту тему, снабжая ее новой серией музыкальных примеров-подтверждений. Самое примечательное во всем этом то, что ведь все исследователи правы! Все доказывают справедливость своего истолкования и приводят весомые аргументы. Не забудем при этом, что Пятая – самая классическая симфония Шостаковича! А оказалась она настоящим концептуальным нонсенсом! (Stepanova 2007, 89–90.)

> What a number of meanings was it ascribed! Starting with a concept of conquered optimism in the Soviet times. Then parallels with Mahler were found. Dorothea Redepenning wrote about this topic – but she, however, mentioned only some general similarities, whereas the obvious influence of the final movement of Mahler's 1st Symphony on the final movement of Shostakovich's 5th Symphony was not unfolded, though the latter almost literally reproduces the algorithm of the former in large blocks. Later it has been realized that an utopian symphony has strong features of anti-utopia. Fitting this understanding is I. Barsova's interpretation that became a true musicological revelation in the 1990s, as well as the version of M. Aranovsky himself – through unexpected parallels with Glinka. This was followed by a true sensation, since chronologically the last interpretation overcomes the boundaries of social thematics: a love song. "The Symphony is a gigantic paraphrase on 'Carmen'", – claimed A. Benditsky, and M. Yakubov elaborates on this theme, supporting it with a new series of musical examples. The most peculiar feature of this all is that every researcher is right! Everyone claims his or her own interpretation's validity and supports the claim with a substantial argument. Let us not forget that the Fifth is the most classical Shostakovich's symphony. And it appeared to be a true conceptual[8] nonsense!

All the possibilities of interpretation are present at the same time within the text, they are perceivable at both prospective and retrospective readings – all due to the composer's specific referential technique. It does not seem possible to put the above mentioned readings of the 5th Symphony into a certain

8. Conceptual here refers to Russian "conceptualist" culture movement of the 1960s and 1970s.

hierarchy. I claim that the same applies to *Preface*: the ambiguity in the text cannot be resolved and put into a hierarchical order *a posteriori*, the referential density of quotational apparatus is presented at once, simultaneously. I see this as a key feature of Shostakovich's creative method.

Expanding this principle to the whole output of Shostakovich, Tatyana Naumenko in her article "Дмитрий Шостакович в современном музыковедении: 'феномен двойного смысла'" ["Dmitri Shostakovich in modern musicology: 'phenomenon of double meaning'"] articulates the same thought even more directly, stating that:

> Именно в области музыковедческих прочтений его опер, симфоний, квартетов с наибольшей силой обнаруживается принципиальная невозможность однозначных суждений. Не только трактовка содержания, не только расшифровка символов, цитат, квазицитат, стилевых аллюзий, реминисценций — всего того, что М.Арановский объединяет словом "тайнопись", — но и более обыденные для исследователя вещи (подходы, методы, аналитические предпочтения) обнаруживают неизменную способность к непрестанному "умножению значений". Проблема усугубляется и тем, что Шостакович, в отличие от многих своих западных современников, почти не оставил объясняющих текстов. (Naumenko 2006, 138.)

> Precisely in the field of musicological readings of his operas, symphonies, quartets the principal impossibility of unambiguous opinions manifests itself in the strongest way. Not only the interpretation of content, not only deciphering symbols, quotations, quasi-quotations, stylistic allusions, reminiscences – all that M. Aranovsky unites in a term "cryptography" – but also more common things for a researcher (methods, approaches, analytical preferences) reveal a constant ability to "multiply meanings". The problem is amplified by the fact that Shostakovich, as a contrast with many of his Western colleagues, left almost no explanatory texts.

***

I claim that Shostakovich's strategy for creating *Preface* was built on a combination of two devices: two types of *chuzhoe slovo*, namely polygenetic quotations and the *skaz* technique. The ultimate aim of this strategy is to create an effect of the above mentioned "principal impossibility of unambiguous opinions" for the audience. Not avoiding ambiguity but embracing and increasing it is exactly what Shostakovich does in his output in general and in *Preface* in particular.

Chapter 2

Polygenetic quotation as device

2.1. Cornerstones of polygenesis

As previously mentioned, in *Preface* there are several moments of referential density, namely polygenetic quotations:

1. the beginning of the piece (bars 1–7), based on musical polygenetic quotations from Mussorgsky's song *Семинарист* [The Seminarist] and Shostakovich's vocal-symphonic poem *Казнь Степана Разина* [*The Execution of Stepan Razin*] op. 119, combined with a verbal quotation from Pushkin[9]
2. bars 30–33, based on a musical polygenetic quotation from Shostakovich's 13th Symphony and *The Execution of Stepan Razin*
3. bars 60–69, containing a musical polygenetic quotation from Shostakovich's song cycle *Сатиры* [*Satires*] op. 109 and a folk song *Chizhik-Pyzhik*
4. bars 83–90, presenting for the first time the composer's musical monogram, the DSCH-motive, which functions similarly to a polygenetic quotation (Some aspects of this particular quotation will also be discussed later.)

These points of referential density are clearly audible while listening to the piece. Each of them has at least one "marker" of its own. Passage 1) is a marked position since it is the beginning of the piece (For more on the role of beginnings and endings, see Lotman 1970, 255–265). Passages 2) and 4) introduce new important thematic material that will be developed later. Passage 3) has a unique articulation in the voice part and therefore draws extra attention in spite of the fact that the thematic material it presents does not play an important role in *Preface*.

These polygenetic quotations – metaphorically speaking – function as columns, keeping the structure of the piece together. In this chapter I trace those quotations back to their sources and discuss the mechanism of creating referential ambiguities in each particular case.

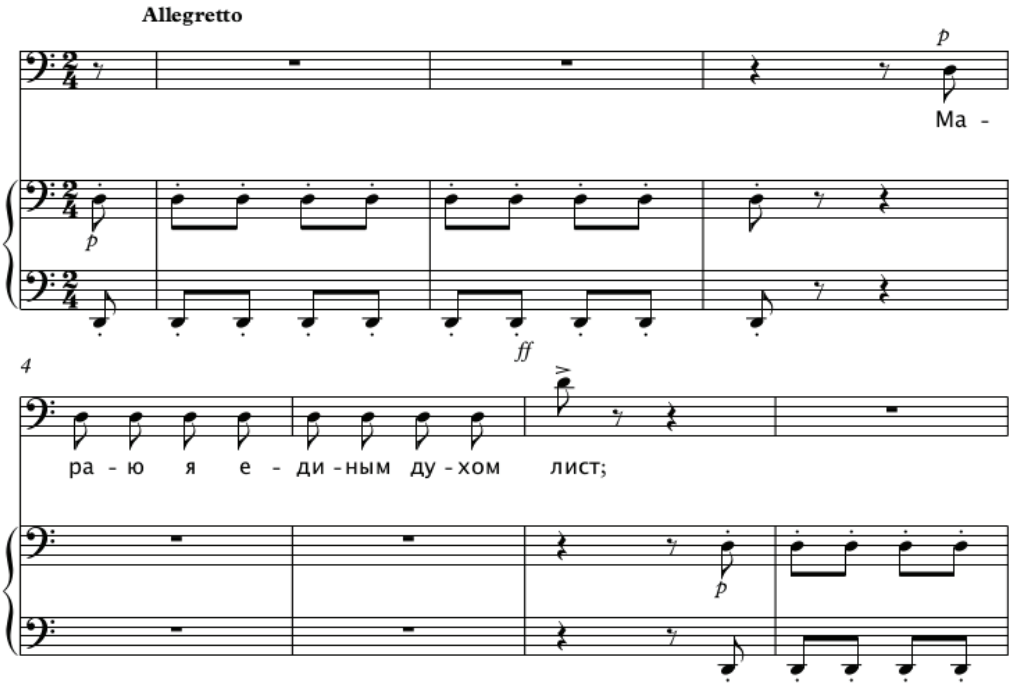
---

9. Pushkin quotations (if not mentioned otherwise) are taken from Pushkin 2007, Yevtushenko quotations – from Yevtushenko 1983.

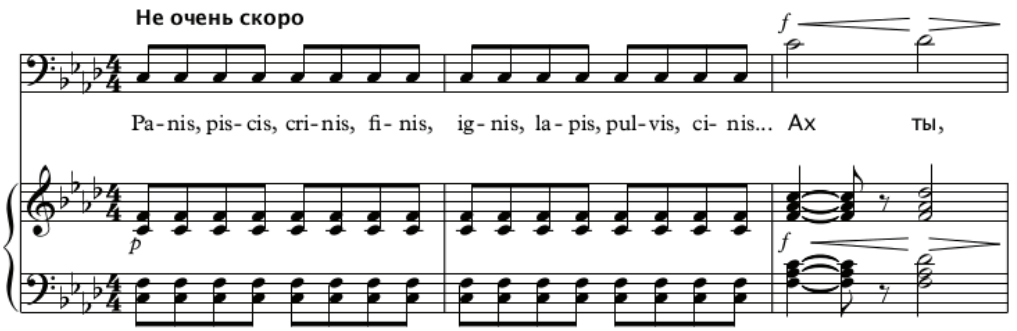
2.2. The beginning

I claim that the music in the beginning of *Preface* draws from two sources. The first one is Modest Mussorgsky's song *The Seminarist*.

Music example 2.1. Shostakovich, *Preface*, bars 1–9.



Music example 2.2. Musorgsky, *The Seminarist*, bars 1–3.



Mussorgsky's song tells the story of a young priest-in-training who is preparing for a Latin exam. Concentrating on memorizing Latin words proves to

be a difficult task for him. Occasionally he deviates from his course of studies and starts to reflect on his life – in Russian:

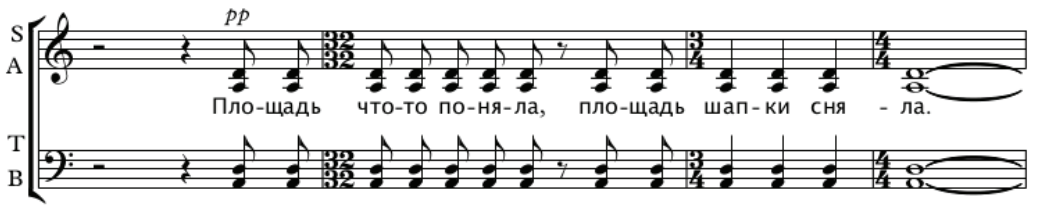
Panis, piscis, crinis, finis, ignis, lapis, pulvis, cinis… Ах ты горе, моё горе! *Orbis amnis et canalis, orbis amnis et canalis...* Вот так задал поп мне таску, За загривок да по шее он благословил И десницею святою памяти лишил. *Fascis, axis, funis, ensis, fustis, vectis, vermis, mensis…* У попа Семёна дочка знатная такая, Шечки, что твой маков цвет, глазки с поволокой, Грудь лебяжья да покатая под рубашечкой всколыхнулася. *Fastis, axis, funis, ensis, fustis, vestis, vermis, mensis…*etc.	*Panis, piscis, crinis, finis, ignis, lapis, pulvis, cinis…* Woe is me! Woe is me! *Orbis amnis et canalis, orbis amnis et canalis...* The priest gave me a thumping, And blessed my neck with a beating, And made me lose my memory with his holy hand. *Fascis, axis, funis, ensis, fustis, vectis, vermis, mensis…* The priest Semyon has a beautiful daughter, Her cheeks are red like poppy, her eyes are sensual, Her breast like that of a swan, It swells under her shirt. *Fastis, axis, funis, ensis, fustis, vestis, vermis, mensis…*etc.

The meaning of the Latin words is rather irrelevant – they constitute sequences of nouns that are anything but a coherent utterance (the first line of the text literary means. “Bread, fish, hair, end, fire, stone, dust, ashes”). What is important is the juxtaposition of two levels in the speech of the seminarian. One has a meaning (reflections on life); the other does not, using instead “empty” words. Significantly, Shostakovich does not quote the music written by Mussorgsky to depict a former, meaningful and lively level. On the contrary, he quotes the musical setting of meaningless Latin words: monotonous repetition of quavers on the same pitch with a subsequent octave leap. *Preface*, a piece strongly connected to the theme of artistic creativity, from the very first bar refers to another piece that shows how words can be stripped of their meaning.[10]

The second quotation source for the beginning of *Preface* is the vocal-symphonic poem *The Execution of Stepan Razin* op. 119, which Shostakovich wrote in 1964, two years before *Preface*. The text is taken from Yevgeny Yevtushenko’s large-scale poem *Братская ГЭС* [Bratsk Powerstation]. Shostakovich quotes bars 667–670 of *The Execution of Stepan Razin* that describe a crowd witnessing the main hero’s decapitation.

10. A peculiar biographic detail: Shostakovich did not succeed in learning foreign languages himself.

Music example 2.3. Shostakovich, *The Execution of Stepan Razin*, bars 667–670.



The words Shostakovich sets as a monotonous repetition on the same pitch in *The Execution of Stepan Razin* are quite significant (and the pitch repeated is note "D", just as in the *Preface*):

"Площадь что-то поняла,
Площадь шапки сняла"

(The square[11] understood something, the square took their hats off).

This line contains an inner contradiction: the verb *понимать* [to understand] is used together with an indefinite pronoun *что-то* [something]. Understanding is questioned and comprehension is overshadowed by ambiguity. Deep solemn silence, the symbolic act of taking off one's hat turns out to be an uncertain movement, stemming from the inability to perceive the full situation: once again, "meaningful" becomes "empty". This is a variation on the same theme as the beginning of *The Seminarist*: empty words and misunderstanding in the process of communication.

It is possible to assume that *The Seminarist* has also served as a quotation source for the above mentioned passage from *The Execution of Stepan Razin*. The choir texture – female and male voices singing in fourths and doubling each other over the span of an octave – is similar to the piano part of the beginning of *The Seminarist*. However, the passage from *The Execution of Stepan Razin* differs from Mussorgsky's song in some details: the key is not F minor but D minor, and the steady movement of quavers in *The Seminarist* is substituted with a more diverse rhythm that suites Yevtushenko's words. The quotation from the beginning of *Preface* combines features of both source texts, taking the rhythmical and melodic shape from Mussorgsky's song and combining them with the key of Shostakovich's own earlier work.[12]

11. "The square" in this case is a metonymic substitute denoting the people who have gathered in the square to witness Stepan Razin's decapitation.

12. The importance of key in Shostakovich's quotational strategies has been researched by Irina Stepanova (2007, 52), who wrote: "Специфика интертекстуального мышления

In addition to the musical part, the verbal part in the beginning of *Preface* is also a quotation. Shostakovich quotes (with several alterations) a poem by Pushkin "История стихотворца" ["History of a Versifier"]. It describes the creative life of a certain not very talented writer.[13]

Внимает он привычным ухом Свист. Марает он единым духом Лист. Потом всему терзает свету Слух, Затем печатает, и в Лету – Бух!	He listens to whistling with an accustomed ear. He besmirches a page in a single breath. Then he torments the ears of the whole world. Then he publishes, and bang into oblivion!

However, Shostakovich does not simply quote Pushkin's text. He makes some alterations that are in my opinion quite significant. In addition to the change of order within the first two lines (discussed at length in Kozlovski, 2015) the most obvious one is the change of personal pronouns. Pushkin's text uses the third person pronoun *он* [he] and points to the anonymous supposedly talentless versifier. Shostakovich changes pronouns to the first person, *я* [I].

He listens to whistling with an accustomed ear.	I besmirch a page in a single breath.
He besmirches a page in a single breath.	I listen to whistling with an accustomed ear.
Then he torments the ears of the whole world.	Then I torment the ears of the whole world.
Then he publishes, and bang into oblivion!	Then I publish, and bang into oblivion!
(Pushkin's original text, 1818)	(Shostakovich's text, 1966)

Pushkin's irony pointed at the external object thus becomes self-irony, the author's first-person utterance pointed at himself. However, this utterance cannot be taken as the speech of *Preface*'s author. Stylistically it is strongly juxtaposed to the second part of the text, which immediately follows the Push-

---

Шостаковича во многом заключена в том, что *сознательно* беря у других, он *чаще всего сохраняет тональность оригинала*" [Shostakovich's intertextual thinking has a specific feature: when *consciously* borrowing from others, he usually *keeps the original key*].

13. The object of Pushkin's satire is probably count D. I. Khvostov (1757–1835), a famous Russian graphomaniac writer.

kin quotation in the *Preface* – the "reflection" part. The latter is stylistically much closer to Shostakovich's own verbal manner as well as to the language commonly used in the Soviet Union in the 1960s (I will return to this subject in Chapter 3 in connection with the *skaz* technique).

Shostakovich also made a curious comment about the role of personal pronouns in a letter to Boris Tishchenko in October of 1965, just four months before *Preface*:

> Никакого "ячества" у Евтушенко нет. И когда он говорит "я", то это он говорит не о себе. Как же это Вы не понимаете? (Shostakovich 1997, 18)
>
> Yevtushenko's lacks any "egocentrism". And saying "I", he does not talk about himself. Why don't you understand it? (translation taken from: Shostakovich 2013, 18)

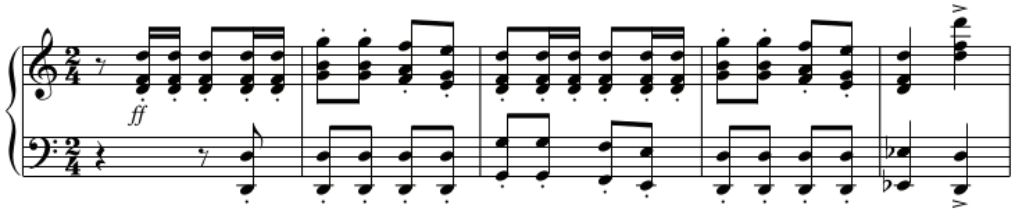
In other words: Shostakovich goes through the trouble of changing Pushkin's text with something that looks like an unequivocal and unambiguous motivation for such a change. Almost at the same time he makes a statement that revokes the most obvious explanation for this particular textual alteration. The information given is internally contradictory, making a singular and unambiguous interpretation very difficult – which is yet another instance of ambiguity in *Preface*. These ambiguities are related to a problem that dogged Shostakovich throughout the 1950's and 1960's: the differences and similarities between a talented author and a talentless one and the possibility of finding traces of both within one creative personality in general – and possibly within one Dmitri Shostakovich in particular. I discuss the problem of the historical context in Chapter 4.

In summary, the beginning of *Preface* appears to be a complex web of referential relationships. The verbal text is a quotation from Pushkin appearing to be a first-person utterance of the speaker without actually being it. The music of the beginning refers to two sources, both of them ambiguous in themselves, united by a common theme: understanding or misunderstanding of a certain verbal message.

2.3. Tolstoy(s) and tsar(s)

The second moment of referential density is a piano interlude, in bars 30–33. It is the only instance of a canonic imitation in the whole piece. The importance of this place for Shostakovich can also be seen from the only existing sketch of *Preface*: bars 29–33 seem to be the only passage in the piece he actually wrote and tried out in several alternative versions whereas the rest of the piece seemed to be quite clear from the very beginning of the creative process.

Music example 2.4. Shostakovich, *Preface*, bars 30–33.

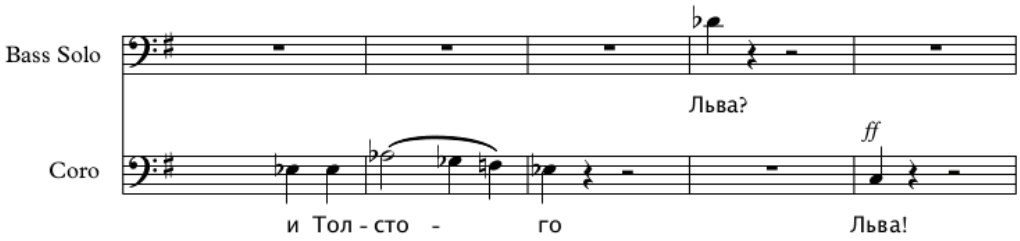


The source of this quotation was traced by Malcolm MacDonald as early as 1982. In his article "Words and Music in Late Shostakovich" he writes:

> But the piano part twice makes a brief, mocking, fanfarish reference to the Thirteenth Symphony – to "A Career" (very suitable among this parade of "honourable titles" received), and specifically to the *i Tolstogo* passage […] The question is raised (and it is surely to Shostakovich's credit that he could raise it): if Shostakovich is like Tolstoy, is he more of a Lev or a Count Alexey? (MacDonald 1982, 136).

The passage MacDonald refers to can be found in the fifth movement of the 13th Symphony:

Music example 2.5. Shostakovich, 13th Symphony, 5th movement, bars 274–282.



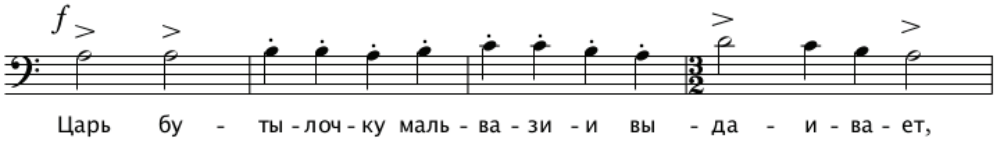
Итак, да здравствует карьера, когда карьера такова, как у Шекспира и Пастера, Ньютона и Толстого... Льва!	Thus - salute to the career! When the career is similar To Shakespeare and Pasteur, Newton and Lev Tolstoy!

This is the only place in the movement where Shostakovich changes the text of Yevgeny Yevtushenko – by repeating Lev Tolstoy's first name twice: as a question of a soloist and then immediately as an affirmative answer by the choir. This ambiguity was more than justified: the surname "Tolstoy" could very well refer to Lev Tolstoy (1828–1910) as well as Alexey Tolstoy (1883–1945), a writer who eventually received the unofficial nickname "Red count"

since his loyalty to authorities secured him a position in the Soviet literary establishment despite his noble descent. In this regard, Alexey was almost the exact opposite of Lev, who – especially at the end of his life – had almost no inclination to please the state or church authorities of the Russian Empire. However, MacDonald's question of whether Shostakovich was more like Alexey or Lev in regard to his relationship with the authorities, still cannot be answered unambiguously. Most likely the answer is that the composer combined certain features of both – which can be seen as yet another instance of ambiguity.

The same motive – this time in the same key as in *Preface*, D minor – plays a significant role in *Exectution of Stepan Razin*. There it is also closely associated with the theme of earthly power. The first time this motive manifests itself is in an episode starting from bar 60:

Music example 2.6. Shostakovich, *The Execution of Stepan Razin*, bars 60–65.



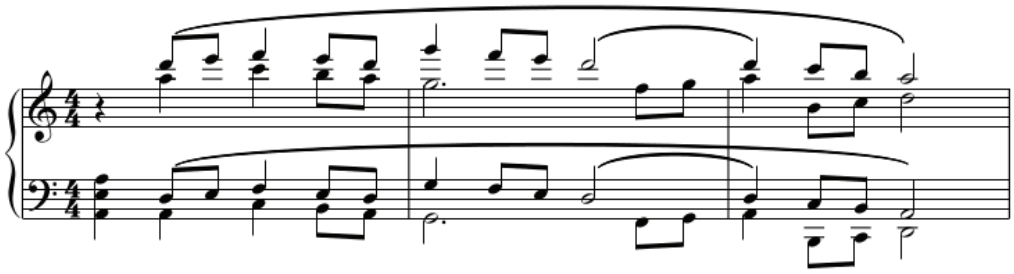
Царь бутылочку мальвазии выдаивает, перед зеркалом свейским прыщ выдавливает, Примеряет новый перстень-изумруд – и на площадь... Стеньку Разина везут!	The tsar is milking a little bottle of malmsey, before the Swedish mirror, he squeezes a pimple, and tries on an emerald seal ring – and into the square... they are bringing Stenka Razin!

The tsar in question is Alexey Mikhailovich (reigned 1645–1676), who acquired the nickname *тишайший* [the Quietest] for his character as a ruler. Therefore, the mocking intonation of Yevtushenko's text is not fully justified in this particular case: of all of the Romanov Dynasty's rulers, Alexei Mikhailovich most deserves to be remembered in a sincere and positive way.[14]

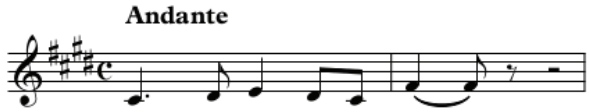
Later in the *The Execution of Stepan Razin* Shostakovich links this descending motive to a quotation from the beginning of Mussorgsky's opera *Boris Godunov*:

14. In general, this effective passage in Yevtushenko's poem must have been somewhat unclear and enigmatic for a Soviet reader of the 1960s: very few of them could have known exactly what a Swedish mirror looked like, and even fewer had ever drunk malmsey.

Music example 2.7. Shostakovich, *The Execution of Stepan Razin*, bars 665–667.



Music example 2.8. Musorgsky, *Boris Godunov*, beginning.

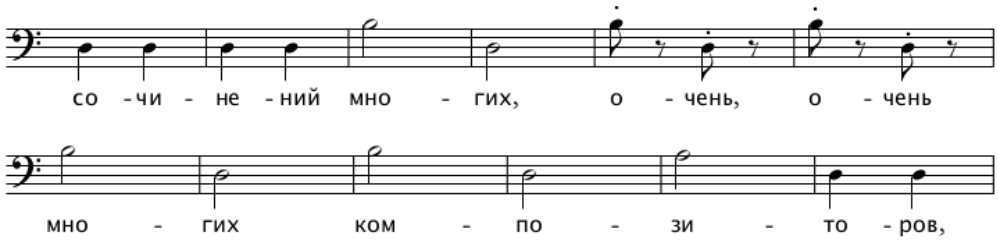


Reference to Alexei Mikhailovich is thus linked to the reference to Boris Godunov. In this way Shostakovich presents multiple levels of significance by referring to two rather different Russian tsars at the same time – without getting too deep into characterizing them. This device mirrors the final movement of the 13th Symphony, which contains a simultaneous reference to two writers. I find it plausible to conclude that the passage from *Preface* and its quotational sources, namely *The Execution of Stepan Razin* and the final movement of the 13th Symphony, revolve around the problem of the relationship between artists and authorities, without making a statement but acknowledging different ways this relationship can proceed, which can be seen as yet another instance of referential ambiguity.

2.4. Anacreontic staccati

The third important place of referential density is the passage in bars 60–69.

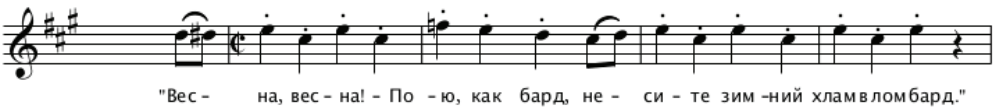
Music example 2.9. Shostakovich, *Preface*, bars 60–69.



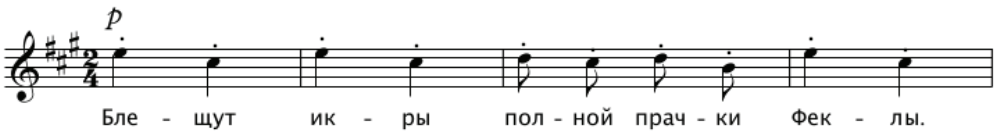
The text set in this excerpt is from the second part of *Preface*:-"Such a preface could have been written not only to the complete edition of my works, but also to the complete edition of the works of very many other composers, Soviet as well as foreign." The marker of this place is first of all the articulation in the voice part. This is the only place in *Preface* where Shostakovich writes *staccato* dots for the singer. The effect is amplified by quaver pauses in order to ensure that syllables in the bisyllabic words *очень, очень* [very, very] are detached from each other.

By 1966 Shostakovich had written a vocal work with a similar use of this device, i.e. even *staccato* notes sung at repeated intervals*: Satires* op. 109, to the words of Sasha Chorny. It is possible to find similar passages in two songs of the cycle: "Пробуждение весны" ["Awakening of Spring"] and "Крейцерова соната" ["Kreutzer Sonata"].

Music example 2.10. Shostakovich, "Awakening of Spring", bars 46–50.



Music example 2.11. Shostakovich, "Kreutzer Sonata", bars 61–66.



Both songs deal in some way with the problem of sexuality, although treatment of this theme was very atypical for Soviet culture in the 1960s. The verbal part of "Awakening of Spring" depicts in a rather naturalistic way a picture of the narrator's environment (governed by rather simple physiological instincts) in the month of March – the screaming cat, the abnormally fast growth of a cactus, the main hero asking "Whom should I fall in love with, damn it!" – is a clear parody of high-style Russian poetry praising the coming of spring. Shostakovich answers that by parodying the musical part of Rahmaninov's song *Весенние воды* [*Waters of Spring*].

The "Kreutzer Sonata" deals with the same theme but in a different manner. It shows an unnamed middle-class male character sitting in his rental apartment and feeling bored. The way out of boredom is illuminated by the exciting sight of the laundress Fyokla washing the window. Her thighs in par-

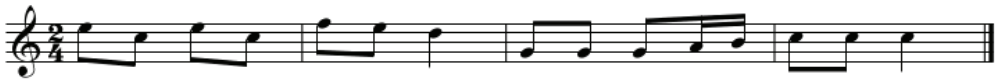
ticular are of great interest to the unnamed male character. It all ends in a frivolous scene:

Квартирант и Фекла на диване. О, какой торжественный момент! “Ты – народ, а я – интеллигент, – Говорит он ей среди лобзаний, – Наконец-то, здесь, сейчас, вдвоем, Я тебя, а ты меня – поймем...”	Lodger and Fyokla on a couch. Oh, what a solemn moment! “You are common people and I am intelligentsia, – says he while kissing her, – Finally, here, now, together We will understand each other...”

If “Awakening of Spring” profanes love by reducing it to a purely hormonal, physiological level, “Kreutzer Sonata” goes even further. Its message in the Soviet state is nothing but open blasphemy, mocking the holy idea of the Soviet state itself: Marx and Lenin’s doctrine of the clash of social classes as a driving power of historical progress.

The use of the motive described above in *Satires* is in fact a direct quotation itself. The source is a Russian anonymous folk song *Чижик-Пыжик* [*Chizhik*[15]*-Pyzhik*]:

Music example 2.12. Folk song *Chizhik-Pyzhik.*



There are several versions of the text, but the most well-known is the following:

Чижик-пыжик, где ты был? На Фонтанке водку пил. Выпил рюмку, выпил две — Закружилось в голове. Стали чижика ловить, Чтобы в клетку посадить. Чу, чу, чу, чу, Я из клетки улечу.	Chizhik-pyzhik, where have you been? I’ve been drinking vodka on Fontanka[16]. Drank a glass, drank another one – And my head went spinning around. They try to catch chizhik and put him into a cage. Hush, hush – I will fly out of the cage.[17]

15. *Чижик* is the Russian word for a linnet bird.

16. A river in Saint Petersburg.

17. Other existing versions of the text can be divided into two categories: so-called “versions for children”, where the text is stripped of any problematic elements, as well as different kinds of “versions for adults”, where harsh and even obscene elements are brought to the fore. Shostakovich most likely knew some of the latter ones very well.

As we can see, there are two main motives in the text. One is getting intoxicated through alcohol consumption, and the other is achieving a certain freedom, the latter being a direct result of the former. Thus, all sources for the polygenetic quotation in *Preface* can be seen as belonging to a certain Anacreontic tradition: daring humour based on the praise of drinking and sexual freedom.

However, this song had another meaning for Shostakovich in the 1960s. *Chizhik-Pyzhik* is a tune one can easily play on the piano with one finger, and in the Russian musical tradition, it has become a symbol of pianistic simplicity. Since the middle of 1950s Shostakovich had started to become increasingly concerned with the condition of his right hand. Several years after the composition of *Preface* he wrote to Isaac Glikman:

> Сам я не могу их играть. С правой рукой дела обстоят плохо. Не играет даже чижика. (Shostakovich 1993, 296.)
>
> I myself cannot play them [referring to Tsvetaeva songs op. 143]. Things are bad with my right hand – it cannot play even the "Chizhik".

Here the reference to *Chizhik-Pyzhik* is not a reference to Anacreontic virility – on the contrary, it is a musician's bitter acknowledgement of his own pianistic (and therefore creative) impotence. In this context, the *Chizhik*-reference in *Preface* can also be seen as a longing for lost freedom, most of all the pianistic freedom that enables the freedom of expression. Incidentally, we can also speculate that *Preface*, a piece written especially for the concert of 28 May 1966, where Shostakovich was to perform as a pianist for the first time after a long break, was intended as a "flying out of the cage" of pianistic disability, proving to the whole world as well as to himself that he could still be a performing pianist. Most importantly, this is yet another clear instance of the ambiguity presented by a polygenetic quotation.

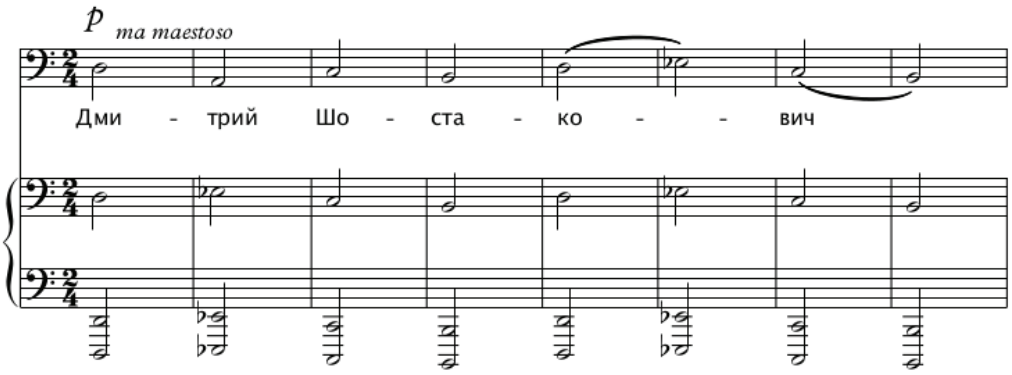
2.5. Signature as quotation

The last excerpt that I would like to discuss is the first appearance of the DSCH motive in the *Preface*.

The importance of this musical signature for Shostakovich is well known and has been extensively researched. Setting his own name and surname to this motive can certainly be seen as an important gesture.

However, this is not strictly speaking a polygenetic quotation. At first, it does not even look like an ambiguous gesture at all. For a moment let us consider this eight-bar segment as a sign in terms of Saussurean semiotics (cf. Saussure 1997, 97–100). This sign has a clear and unambiguous structure: the

Music example 2.13. Shostakovich, *Preface*, bars 83–90.



signifier is the DSCH-motive, the signified is the name "Dmitri Shostakovich", and the external referent of this sign is the composer Dmitri Shostakovich as a physical being. There is no ambiguity here; on the contrary, compared to the previously-mentioned excerpts, this segment is surprisingly unambiguous.

In spite of its obvious clarity, however, there is a functional similarity to the above-described instances of polygenesis. While the DSCH-motive might not be the same polygenetic quotation as the previous ones, it certainly functions in a similar way. It is well to remember that in 1966 not everyone understood the meaning of the DSCH-motive. None of the research literature on the Shostakovich's musical monogram available to us nowadays had yet been written. Even such an established and experienced musicologist as Leo Mazel in his monograph about Shostakovich's symphonies published in 1960 implied that the correspondence of notes D, E flat, C and B to the initials of the composer and the active use of this motive in the 10th Symphony could have been purely coincidental (Klimovitsky 1996, 250).

The DSCH-motive thus functions exactly the same way as previously-presented polygenetic quotations: by pointing the listener towards the two Shostakovich works that made extensive use of the motive that were known to a wider audience in 1966: the 10th Symphony (1953) and the 8th String Quartet (1960). In spite of its rather unambiguous first appearance, however, the musical monogram DSCH in fact plays a different role in creating an effect of musical ambiguity in *Preface*, to be discussed more fully in the following chapter.

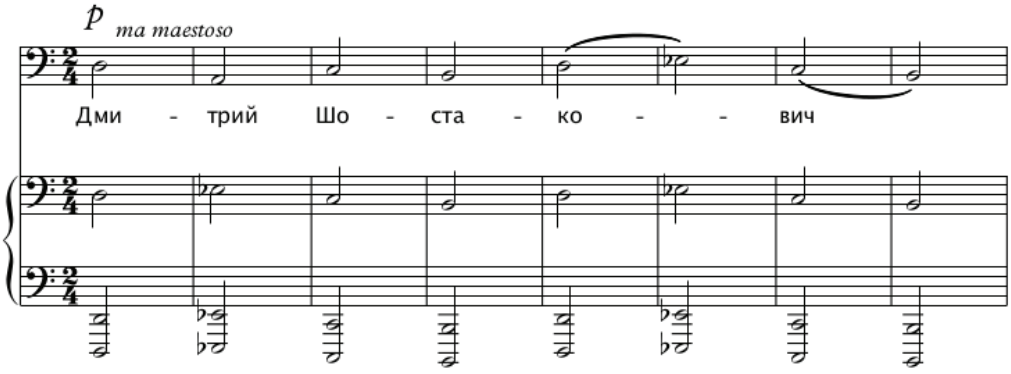
Chapter 3

The Problem of *skaz* in Shostakovich's Stylistics

3.1. Skaz as Device

I ended the last part of the previous chapter with a discussion of Shostakovich's musical signature, the DSCH-motive, referring to the first appearance if this motive in the *Preface*, namely to bars 83–90:

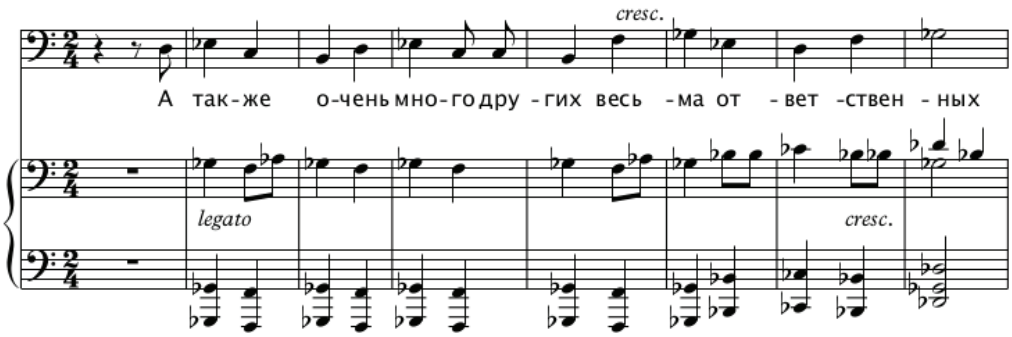
Music example 3.1. Shostakovich, *Preface*, bars 83–90.



Based on the texture, this appearance can be characterised as a solemn and serious one: the slow movement of octaves in the bass register and the composer's remark *p ma maestoso*. However, this is not the only appearance of the DSCH-motive in *Preface*. Here is another instance where Shostakovich uses his musical signature (see music example 3.2.).

The motive is the same, but its treatment is different: faster note values compared to example 3.1, the obsessive repetition of the motive and the notes within the motive (bars 118–120). If example 3.1 can be seen as a grave and solemn statement of an idea, example 3.2 seems to be articulating the same idea in a stuttering, self-repeating, clumsy and redundant way. If the first example could have been presented by a typical all-knowing and stylistically

Music example 3.2. Shostakovich, *Preface*, bars 118–125.



neutral narrator of realist novels, the second example brings to mind the *skaz* narrator of Mikhail Zoshchenko's short stories, a literary device creating an impression of a speaker with a confused mind and a peculiar mixture of speech characteristics.[18]

I presented several definitions of *skaz* as a literary device in Chapter 1. *Skaz* as a form of *chuzhoe slovo* differs noticeably from the normative speech style and is juxtaposed against the background that normative speech provides. *Skaz* implies the existence of a narrator, perceivable either as a character in the text or merely through the speech characteristics of *skaz* itself. The most important feature of *skaz* from the point of view of my research, however, is its ability to create ambiguity. This idea can be traced back to Mikhail Bakhtin:

> Нам кажется, что в большинстве случаев сказ вводится именно {ради чужого голоса}, голоса социально-определенного, приносящего с собой ряд точек зрения и оценок, которые именно и нужны автору. (Bahtin 1994, 90.)
>
> It seems that most frequently skaz is introduced for the sake of "another's voice", a voice that is socially defined, and brings along a number of focalisations and opinions required by the author.

My interest in *skaz* leads me through two stages of enquiry: First, I examine certain stylistic features of *skaz* speech in *Preface* and compare them to their equivalents in Zoshchenko's poetics, thereafter, I delineate the qualities

18. The subject of this chapter has already been reflected upon in research literature about Shostakovich. Svetlana Savenko in her article "Слово Шостаковича" ["Shostakovich's word"] (1996, 359–366) comes to many similar conclusions after analysing Shostakovich's letters. She mentions similarities between Shostakovich and Zoshchenko, problems of double meaning as well as several specific devices, such as tautology and enumeration. She even suggests that *Preface* can be seen as an example of the application of tautology and enumeration to music but does not develop this statement.

of the *skaz* narrator in *Preface*. In the fourth chapter of my study, I also explore those qualities against the contextual background of the *Preface.*

3.2. Zoschenko and skaz

As mentioned in Chapter 1, there were several prominent representatives of *skaz* among Shostakovich's favourite writers, among them, Shostakovich's contemporary and acquaintance Mikhail Zoshchenko (1895–1958). Zoshchenko's poetics and his particular affinity with *skaz* did not go unnoticed by the Russian Formal School. In 1928 Viktor Vinogradov even published an article called "Язык Зощенки" ["Zoshchenko's language"] and claimed that *skaz* was nothing less than the main form of speech for Zoshchenko.[19]

Vinogradov does not just state that *skaz* has a prominent role in Zoshchenko's poetics. Even before this statement, he makes another claim that I consider crucial for my research, one that brings together both of the *chuzhoe slovo* devices that *Preface* is based on: namely, *skaz* and polygenetic quotation. One characteristic feature of polygenesis is a certain "collision of meanings" within a text. According to Vinogradov, that is also the function of *skaz*:

> Можно утверждать, что формы диалектического, "внелитературного" речеведения в художественной литературе, напр., сказ, всегда имеют за собою – как второй план построения – смысловую систему литературного языка данной эпохи. Поэтому они всегда двусмысленны, т.е. осмыслены в двух плоскостях - в плоскости "диалектического" языкового "сознания" литературного рассказчика или писца и в плоскости литературно-языкового сознания "писателя". Столкновение смыслов и есть одна из форм художественного построения речи. (Vinogradov 2003, 266.)

> It is possible to claim that dialectical, "extraliterary" speech forms in literary fiction – for instance, skaz – always contain in themselves, as a second level of structure, a system of meanings of the literary language of the given time. That is why those systems are always "double-meaningful", e.g. they become meaningful on two levels: the level of "dialectical" language "consciousness" of the literary narrator or scriptor and also on a level of "writer's" literary language consciousness. Collision of meanings is indeed one of the forms of speech's artistic structure.

This in no way contradicts the definition of *skaz* by Bakhtin. There are several specific features of Zoshchenko's stylistics that Vinogradov and other researchers considered important and worth examining. Some of those important features, such as certain aspects of verb usage or antonymic substitute, are of secondary relevance for my research. Some other devices, however, such as distortion of

19. Основная форма речи у Зощенки – "сказ" (Vinogradov 2003, 266).

poetic speech or distorted, colloquial syntax, play an important role in *Preface*. An examination of these devices will lead to an understanding of the figure of the narrator, a figure Shostakovich creates through the use of *skaz* devices.

3.3. Zoshcenko's Skaz Techniques in Preface

A relatively complete and rigorously structured list of Zoshchenko's techniques and devices can be found in Mikhail Kreps's study *Техника комического у Зощенко* [*Zoshchenko's Comical Technique*]. Some of them are largely applicable to Shostakovich's *Preface*.

The first – and maybe the most obvious – is the distortion of poetic text. Distortion could mean misremembering the poem by a character, deliberate misquoting, distortion of rhythm and even insertions of certain elements. Kreps also stresses that:

> Искажение поэтического текста может стать эффективным приемом только тогда, когда этот текст общеизвестен, хрестоматиен, то есть для нормативного читателя является как бы крупной неразложимой языковой единицей. (Kreps 1986, 85.)
>
> Distortion of poetic text can be effective only when the text is known to everybody, being a part of literary canon, so that for a normative reader it is a substantial, undivided language unit.

Pushkin's "History of a Versifier", which Shostakovich quotes in *Preface* does not entirely fit the definition by Kreps. Though it is written by the most canonized poet of Russian literature (I will return to this subject in section 3.5), this particular poem is not among his most famous. However, the treatment of the poem – distorted quoting[20] and a stylistically different commentary on it by the *skaz* narrator – is quite similar to Zoshchenko's technique. Let us compare *Preface* to one of the examples mentioned by Kreps, namely from Zoshchenko's *Голубая книга* [*Blue Book*]:

> А некоторые впадали в меланхолию и восклицали: ах, дескать, господа. Вот так же, как в свое время воскликнул один из прекрасных поэтов: ах, господа, — он воскликнул, —
>
> Жизнь, как посмотришь
> С холодным вниманьем вокруг, —
> Такая пустая и глупая шутка.
>
> Или — штука. Не помню. Одним словом, он что-то вроде этого воскликнул, переполненный глубокой меланхолией. (Kreps 1986, 87.)

20. I have discussed some of the changes made to Pushkin's text by Shostakovich in Chapter 2.

> Some others became melancholic and went on exclaiming "oh, sirs!". Just in the same manner one of the finest poets of his time exclaimed: oh, sirs – he exclaimed, –
>
> Life, as one can see
> With a cold examination,
> Is such an empty and silly joke.
>
> Or maybe he said "silly thing". I do not remember. In other words, he did exclaim something like this, full of deep melancholy.

Another of Zoshchenko's devices applicable to *Preface* is the collision of several stylistic levels. Kreps mentions a collision of bureaucratic terms with colloquial speech within one sentence as a typical characteristic of Zoshchenko's style. As an extreme form of bureaucratic style, Kreps includes the "exaggeratedly frequent mentioning of one's own or someone else's personal data".[21] Here is one of numerous examples mentioned by Kreps:

> А заболел тут один мужичок. Фамилия -- Рябов, профессия -- ломовой извозчик. Лет от роду -- тридцать семь. Беспартийный. (Zoshchenko 1986, 221.)
>
> And once a guy got ill. Surname – Ryabov, profession – drayman. Age – thirty-seven. Not a member of the Communist Party.

Dry personal data, such as for filling out forms, is preceded by a rather colloquial "А заболел тут один мужичок" (And once a guy got ill). Its almost direct equivalent can be found in the verbal text of *Preface*:

> Дмитрий Шостакович, народный артист СССР. Очень много и других почетных званий. Первый секретарь Союза композиторов РСФСР, просто секретарь Союза композиторов СССР, а также очень много других весьма ответственных нагрузок и должностей.
>
> Dmitry Shostakovich, national artist of the USSR. Very many other honourable titles. First secretary of the Union of composers of the RSFSR, just a secretary of the Union of composers of the USSR. Also many other very responsible commitments and obligations.

Here a dry list of Shostakovich's obligations and merits is interrupted by a colloquial, stylistically very different sentence "Очень много и других почетных званий" [Very many other honourable titles]. As it is possible to see, this sentence is not only colloquial, but it also gives the receiver a redundant amount of information. It is precisely tautology or redundancy that I see as a key feature of Shostakovich's and Zoshchenko's *skaz*.

21. К издержкам канцелярского стиля в речи можно отнести и неумеренно частое упоминание рассказчиком своих и чужих анкетных данных (Kreps 1986, 101).

Vinogradov was the first to name this feature "tautology". Later Kreps listed several specific types of tautology in his study, distinguishing between "continuation due to momentum", "semantic reduplication" and other stylistic devices that can be considered similar variations of tautology (Kreps, 1986). In any case, the device in question produces a certain redundancy in the text, providing the reader with an unnecessary, excessive amount of information, which I term "verbosity".[22]

The fact that verbosity is a key feature of Zoshchenko's *skaz* technique is of the utmost importance for my research. *Preface* is a text built with the application of two *chuzhoe slovo* devices, namely *skaz* and polygenetic quotation, the latter of which creates a certain textural density in *Preface*, by "overloading" a short text with referential connections. S*kaz* in the *Preface*, however, has precisely the opposite effect: i.e. sparsity of meaning. Words and notes follow each other in a sequence that is at once automatized, verbose, meaningless, "weightless", "empty".

22. Verbosity is not an omnipresent feature of *skaz*. For instance, Zoshchenko's famous contemporary, Isaac Babel, while creating his own *skaz* manner, used the device that could be seen as the opposite of verbosity:

> "Работая над рассказом, он писал несколько его вариантов, сжимая каждый следующий все уже и уже в словесном изложении. Из фраз он изгонял, по возможности, все причастия и деепричастия, оставляя только не поддающиеся изгнанию. Он едва мирился с прилагательным перед существительным, но и то только с одним. Только, когда не только ничего нельзя было уже прибавить к фразам, но и вычеркнуть из них, считал рассказ готовым к печати. Но и это не было еще концом его работы, и он не сразу отдавал ее в печать. Несколько дней рукопись отлеживалась, потому <так!> он вновь проверял в ней слово за словом и, если в ней, по его выражению, не оставалось «мусорного» слова, рукопись шла в набор. Фразы в рассказе должны были быть короткими и выражать только одну мысль или образ. В то же время он приветствовал абзацы, дающие возможность менять ритм. Вся эта каторжная работа ни в ком случае не должна убивать текста, за чем нужно было очень зорко следить. Так работал Бабель над своими рассказами, осуждая Куприна за спешку и небрежность. Может быть, поэтому им так мало написано." (Logunova 1969.)
>
> "While working on a story he [Babel] wrote several versions, making each successive one more and more narrow in a verbal sense. He expelled all possible participles and gerunds, leaving only those absolutely impossible to expel. He could barely tolerate an adjective – only one – before a noun. Only when phrases could neither be expanded nor cut did he consider the story ready for publishing. But even that was not the end of his work since he did not yet submit it for printing. The manuscript had to "lie there" for several days, after which he once again checked every word in it – and if, according to his own words, there were no "garbage words" left, the manuscript was submitted for publishing. Phrases in a story had to be short and express only one idea or image. At the same time, he welcomed paragraphs that gave the possibility of changing the rhythm. All this hard work could not be allowed to "kill" the text – of which he had to take extra care. Thus did Babel work on his stories, scorning [Alexander] Kuprin for hurry and inaccuracy. Maybe that is why he wrote so little."

For Zoshchenko's *skaz*, however, verbosity seems to have been one of its key qualities.

Let us take some examples from the verbal part of the *Preface*:

> Такое предисловие можно было б написать не только к полному собранию моих сочинений, но и к полному собранию сочинений многих, очень, очень многих композиторов, как и советских, так и зарубежных.
>
> Such a preface could have been written not only to the complete edition of my works, but also to the complete edition of the works of very many other composers, Soviet as well as foreign.

The red colour marks those words in the Russian text that are clearly semantically redundant. At least 8 redundant words are visible in a text part consisting of 30 words. This clearly recalls Zoshchenko's creative method while working on the story *М. П. Синягин* [*M. P. Sinyagin*]. Marietta Chudakova in her study *Поэтика Михаила Зощенко* [*Mikhail Zoshchenko's Poetics*] examines the archival materials reflecting different stages of Zoshchenko's work on the text:

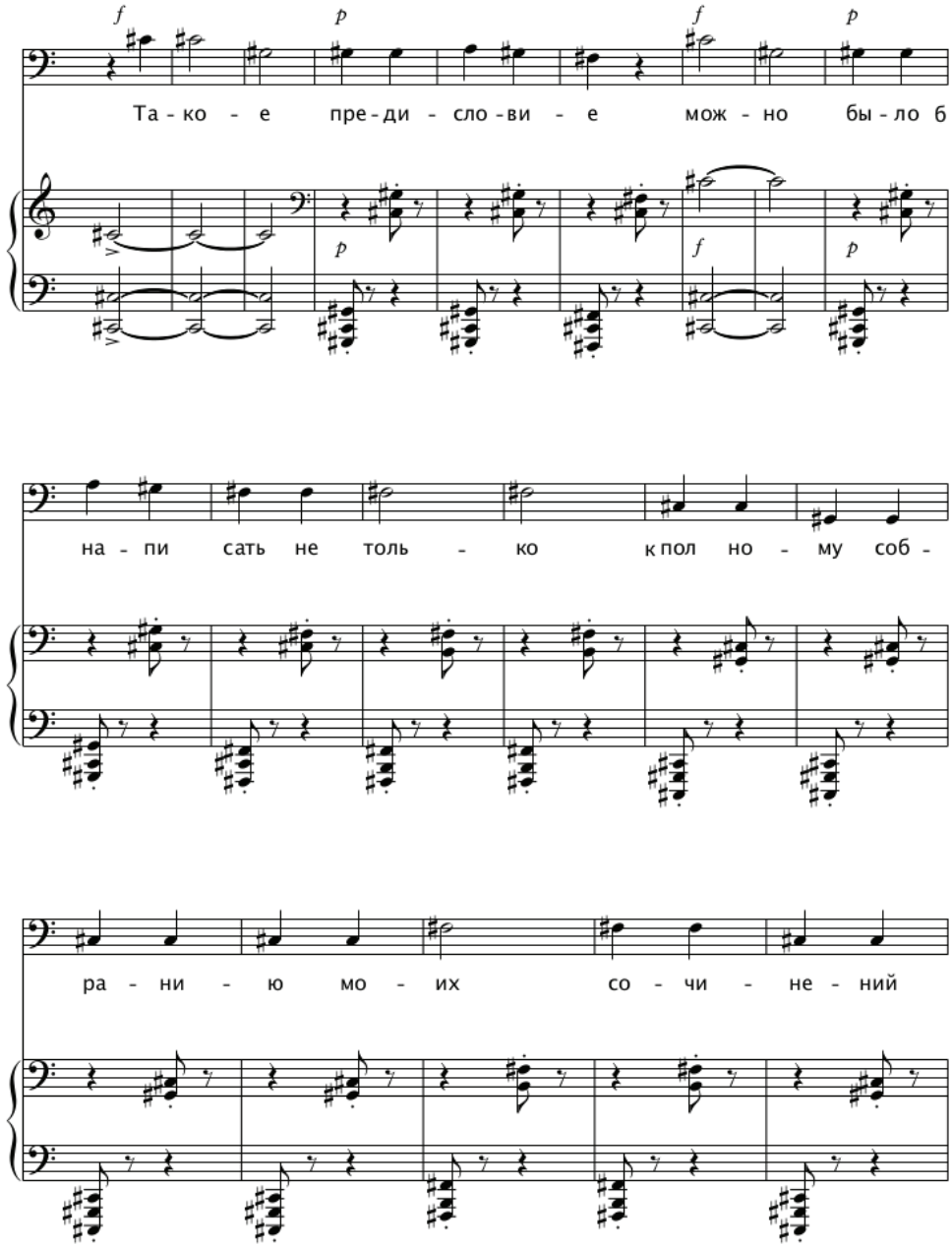
> Чем более "солидное" впечатление производит фраза своим строем — тем сомнительней ее словесный материал. Рукописи показывают работу писателя, специально направленную на дисгармонизацию повествования. В рукописи повести "М. П. Синягин" (ИРЛИ, ф. 501) хорошо виден целый пласт авторской правки, осуществлявшейся, вероятно, в один прием. Мы не увидим в ней обычных для рукописей писателей сокращений, вычеркиваний, не встретим следов заботы о лаконичности. Наоборот, много вставок, и каждая из них преследует одну из двух целей (или обе): во-первых, распространить фразу, сделать ее более многословной, во-вторых, привести к тавтологии, повторам, разного рода несообразностям. (Chudakova 1979, 67–68.)
>
> The more "portly" impression the phrase creates – the more dubious is its verbal material. Manuscripts show how the writer's work has deliberately aimed at the disharmonisation of the narration. The manuscript of the story "M. P. Sinyagin" unfolds the whole level of authorial corrections, executed presumably "in one go". There we cannot see the over-crossings, shortenings or concern about laconicism that is usual in writers' manuscripts. On the contrary, there are many insertions – and each of them aims at one of two goals (and sometimes at both): first, to expand the phrase, to make it more "verbose", and second, to achieve tautologies, repetitions, different sorts of incongruity.

This last sentence from Chudakova's observation can serve as a precise description of Shostakovich's text. The impression of verbosity is exactly what the text of the *Preface* creates.

However, verbosity is not only a feature of the verbal part of *Preface*. The music example 3.2. quoted above is the musical equivalent of the same tech-

nique. The whole passage is based on a repetition of a short motive without really developing it. Another example to illustrate this is in a passage that starts from bar 34:

Music example 3.3. Shostakovich, *Preface*, bars 34–53.



The piano part is the somewhat intrusive, repetitive, typical cliché "um-pah", where the only thing interrupting this redundant monotony is the c-sharp octave played *forte*. The vocal part is equally sparse in using expressive devices: the prosody reminds us of inexpressive muttering; words are given a rather oblique treatment, mainly using two intervals – a fourth and a second – in addition to repeating the same note. This flow of muttering is occasionally interrupted by *forte* exclamations, which could have sounded important had they corresponded to significant words in the verbal text (nouns, personal pronouns, main verbs). However, this is not the case in *Preface*: loud exclamations correspond with words *такое* [such a] and *можно* [could have been]; a demonstrative pronoun and a modal verb, neither of which bears any particular semantic importance in the text, the main semantic weight being carried by the main verb *написать* [to write] and the noun *предисловие* [preface].[23]

3.4. Syntax and skaz

One of the peculiarities of Zoshchenko's style is undoubtedly the syntax of his texts. In spite of the verbosity effect described in the previous section, Zoshchenko's syntax is often rather simple and is even further simplified and distorted. For Zoschenko, long sentences with subordinate clauses, so typical for Russian writers of the XIX century, felt like an anachronism:

> Может быть, единственный человек в русской литературе, который понял это, – Виктор Шкловский. Он первый порвал старую форму литературного языка. Он укоротил фразу. Он "ввел воздух" в свои статьи. Стало удобно и легко читать. Я сделал то же самое.
> Я пишу очень сжато. Фраза у меня короткая. Доступная бедным. Может быть, поэтому у меня много читателей. (Zoshchenko 1928, 11.)

> Maybe the only person in Russian literature to understand this was Viktor Shklovsky. He was the first one to tear apart the old form of literary language. He shortened the phrase. He introduced "air" into his articles. Reading became convenient and easy. I did the same thing.
> I write in a very compressed manner. My phrase is short. Even the poor ones can afford it. Maybe that's why I have so many readers.

This feature of Zoshchenko's syntax did not go unnoticed by researchers. The contrast between his sophisticated use of lexis and his oversimplified syntax creates a very special atmosphere of:

> … совпадение лексической изысканности, филигранной, ювелирной работы над словом, такой утонченной продуманности разрушения лексической

23. Verbs and their role in *Preface* is one of the topics I discuss more closely in Chapter 4.

> сочетаемости — почти кощунственной — с намеренной примитивностью синтаксиса на уровне фразы, абзаца, текста. (Semkin 2008.)
>
> … lexical sophistication, working with words like a jeweller; such a fine, almost blasphemous thought-through distortion of lexical compatibility combined with a deliberate primitivism of syntax on sentence, chapter and text level.

It is worth noticing that a contradiction between lexis and syntax in Zoshchenko's texts adds up to an inner contradiction within the syntax itself. Simple, short sentences that imitate *skaz*-like colloquial style are combined with the verbosity I described in the previous section. Here is a typical example of Zoshchenko's style:

> Конечно, население само виновато. Приходится сознаться. Население ненаучно подходило к врачам — било их одно время по мордасам и по чем попало. (Zoshchenko 1986, 515.)
>
> Of course, the population is guilty itself. We have to admit it. The population approached the doctors unscientifically: kicked them at times on their mugs and on everything available.

Here both features – short, irregular syntax and verbosity – are presented by means of tautologies and unnecessary repetition.

The same can be said about Shostakovich's *Preface* at the very beginning of the piece, for example (see Music Example 3.4.).

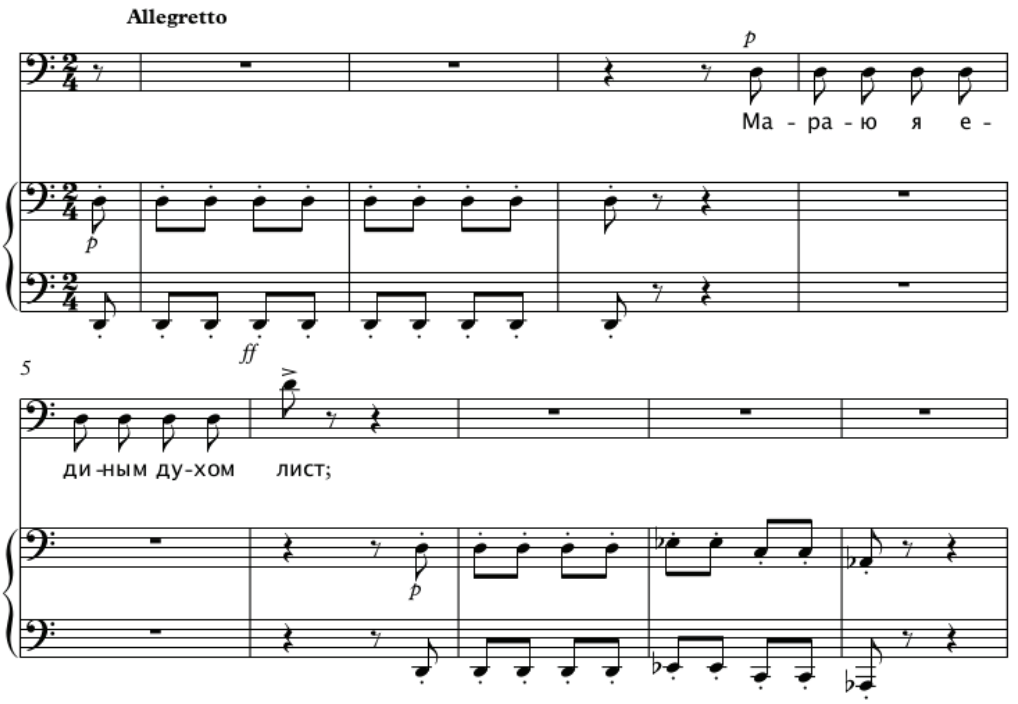
It consists of short phrases, each of which is two and a half bars long. Those phrases are very clearly detached from each other by pauses. This can be seen as an adequate musical counterpart to the way Zoshchenko described his own literary strategies: short, compressed phrases with a lot of "air" (e.g. pauses) in between. It is also rather significant that in the 1920's, this style of writing was perceived as a trademark of Viktor Shklovsky, one of the leaders of the Russian Formal School.[24] This can be seen as yet one more link between Shostakovich and the Russian Formal School.

3.5 Verbosity and the Death of Words

Before a close examination of the narrator in Shostakovich's *Preface*, I would like to make some generalizations on the subject of verbosity, i.e. "empty words". In the examples of this device in *Preface* (explored in Sections 3.2 and

24. Shklovsky was not the first author to use this style, but he was perceived as the main advocate of this new device. For more on the subject of the syntax of the early Soviet prose and Viktor Shklovsky's role in it, see Chudakova 1972, 41–52.

Music Example 3.4. Shostakovich, *Preface*, bars 1–13.



3.3), the same can be said of the syntax, both musical and verbal (as examined in Section 3.4).

This device has a counterpart in Zoshchenko's poetics. The writer's interest in meaningless speech has been demonstrated by Chudakova, who quotes Zoshchenko's own statement from sketches for the book *Жизнь слов* [*Life of Words*]:

> Иные слова стареют настолько, что-что произносится нами как формулы, не вызывая совершенно никакого художественного впечатления... Иные слова умирают совершенно. [...] От них запах тлена и величайшей пошлости. (Chudakova 1979, 41.)
>
> Some words age to such a degree that we repeat them as formulas, without getting any artistic impression... Some words die completely. [...] They have an odour of decay and utmost banality.[25]

A search for the "utmost banality" and "completely dead" words is extremely revealing. Here Zoshchenko sees the "death of the word" first of all as a loss

25. This can be seen as yet one more conceptual bridge between Viktor Shklovsky's ideas, namely, his concept of *ostranenie*, estrangement, and Zoshchenko's poetics (Shklovsky 1919, 101–114).

of a certain artistic quality. This can be the result of the word's use as either too frequent or corrupted. A word with the potential to trigger an immediate artistic impression through frequent use substitutes for a true artistic impression by means of a cliché-type reaction that leads to the perception of this word as banal, although it may still carry traces of the artistic potential it used to have. Playing with "banal" material is one of the trademarks of both Shostakovich and Zoshchenko's poetics. It is possible to assume that – in the manner of Zoshchenko – Shostakovich's *Preface*, with its oblique, empty-worded, stuttering *skaz,* does play with the idea of "empty" or "dead" words and even concepts, linking them to the central subject of the *Preface* – namely, artistic creativity, its possible misuse, decay and death.

In Section 3.3, I presented some examples of the verbosity in *Preface*. Words and motives are repeated redundantly; leading to a certain "death of words" as the piece goes on. But there are some concepts that were already "dead" (metaphorically speaking) before the composition of *Preface* and were most likely perceived in this way by the audience of the 1960s. The conceptualization of Alexandr Pushkin himself is a good example.

Pushkin became the official icon of the Soviet state by, at the latest, 1937 (the centennial anniversary of the poet's death). Sofia Khentova in her book *Пушкин в музыке Шостаковича* [*Pushkin in the Music of Shostakovich*] states:

> Пушкин в ту пору полностью принят советской идеологией, словно литературная икона. Поклонение единодушно. Происходит беззастенчивое приспособление поэта к идеологическому догматизму, широко распространяется биография Пушкина, написанная ведущим тогда литературоведом В. Кирпотиным, в которой утверждалось, что "в обновленной революцией стране, в СССР, исполнилась предсмертная мечта поэта", что "мы присутствуем при всенародном походе для овладения художественным наследием гения" […]
> По примерным подсчетам в двадцатые-тридцатые годы советскими композиторами было сочинено 1030 романсов на стихи Пушкина. Цифра фантастическая. В истории музыкального творчества такого предпочтения дотоле не было. (Khentova 1996, 29.)

> Pushkin at that time was fully accepted by Soviet ideology as a literary icon. Veneration was unanimous. The poet was shamelessly retrofitted into the ideological dogmatism. Pushkin's biography, written by one of the leading literature researchers of the time, V. Kirpotin, had wide circulation. It stated that "in the country renewed by the revolution, in the USSR, the dying poet's dream came true" and "we can witness the nationwide pilgrimage to understand the creative heritage of the genius" […]
> According to rough calculations, soviet composers wrote 1,030 romances to

> words by Pushkin in 1920–30s. The number is mind-blowing. Never before in the history of musical creativity has been there such a clear preference.

At the same time, in spite of being an ideological icon, Pushkin's poetry was ironically known and loved by the vast reading audience. In addition, Pushkin became a hero of countless anecdotes and sayings. Pushkin's name was often used as a colloquial substitute for "nobody" or "everybody", depending on the speech situation as well as being used metonymically for "poet" as a notion.

This peculiar aspect of Pushkin's fame did not go unnoticed by Zoshchenko. Here are some examples from the short story entitled "Pushkin", which tells about a certain citizen who had had bad luck living in an apartment that used to be Pushkin's living place some decades before.

> Пушкин, дескать. Писатель. Жил, дескать, в своё время в этом помещении. Осчастливил, дескать, жилплощадь своим нестерпимым гением. […]
> — Тут, — говорит, — когда-то Александр Сергеевич Пушкин две недели гостил у своего приятеля. И что же мы здесь видим спустя столетие? Мы видим, что в данной квартире форменное безобразие наблюдается. Вон метла стоит. Вон брюки висят — подтяжки по стенам развеваются. Ведь это же прямо оскорбительно для памяти гения! (Zoshchenko 1986, 374.)

> Pushkin, so to say. Writer. Lived, so to say, in this space some time ago. Made the living space, so to say, happy with his intolerable genius. […]
> Here, said they, Aleksandr Sergeyevich Pushkin was visiting his buddy for two weeks. And what do we see here one century later? We see that it is totally outrageous in this apartment. Here is the broom. There are trousers hanging from above – with suspenders along the wall. It is truly disgraceful for the genius' memory!

This is a perfect example of two ambiguities presented almost simultaneously in the text. Zoshchenko's text (as in *Preface*) combines verbosity with stuttering, short phrases. Pushkin is also presented ambiguously – mirroring its perception in the Soviet society of the time – as an unquestionable genius and as someone (or even something – since the text presents Pushkin, his friend, the broom and the trousers with suspenders in the same semantic row) occupying a normal apartment.

The latter ambiguity can be developed even further. Two sides of Pushkin's image in Zoshchenko's story are connected to two different ontological states of being: the "iconic" side, i.e. Pushkin, as a genius, the "first poet of Russia", cannot be alive because being famous means being dead, and the "human" side, i.e. Pushkin, as someone who can actually have a place to live and a friend to visit, is inevitably alive. The problem of this ambiguity, in which a complete person is divided between two different ontological states, strongly manifests

itself in *Preface*. I would even suggest that this problem is central to Shostakovich's text: the ambiguous image of Pushkin largely reflects Shostakovich's own creative personality.

3.6. Dead Preface

The title of *Preface* deserves special mention. The complete title of the work is *Предисловие к полному собранию моих сочинений и краткое размышление по поводу этого предисловия* [*Preface to the Complete Edition of My Works and a Brief Reflection apropos this Preface*]. It is obvious that the title as such is quite bizarre: Shostakovich could not possibly have had a complete edition of his works in 1966. He was still rather active as a composer and very much alive as a human being. The only aspect of his artistic creativity that was in fact almost "dead" or "barren" in 1966 was Shostakovich's career as a concert pianist (cf. Chapter 2). He seemed to regret having to give up his career as a pianist at a rather early stage, and the infirmity of his hand contributed even more to this feeling of bitterness. In this respect, *Preface* appears to be rather significant since it opened the concert that was supposed to be a certain pianistic "comeback" for Shostakovich (by 1966 he had been absent from the concert stage as a pianist for several years, cf. Wilson 2006, 442). Even more significant is the fact that this comeback did not go as planned, causing Shostakovich much stress and even a heart attack right after the concert.[26]

If the end of Shostakovich's pianistic career resulted in a certain resigned bitterness, however, the possibility of ceasing to compose really was very frightening for him. He wrote to his former pupil Kara Karayev on 4 October 1955:

> После 10-й симфонии больше ничего не сочинил. Уже скоро начну чувствовать себя как Россини. Как известно, этот композитор в 40 лет написал свое последнее произведение. После чего дожил до 70, не написав ни одной ноты. Слабое утешение для меня (Karagicheva 1997, 208.)
>
> Since the 10th Symphony, I haven't composed anything. Soon I shall start feeling like Rossini. As it is known, this Italian composer wrote his last work at the age of 40. After that he lived until 70 without writing a single note. A poor consolation for me.

Having a "complete edition" of his own creativity was not what Shostakovich wanted. On the contrary, he was almost absurdly afraid of it. In this revealing passage on the subject, Dmitri Tsyganov, the first violinist of the

26. A more detailed account can be found in Galina Vishnevskaya's memoirs (2011, 493–497).

Beethoven-Quartet, remembers informing Shostakovich that in 1960, the Melodiya-company:

> …"wishes us to record your last quartet".
> "Last quartet?" exclaimed Shostakovich. "When I've written all my quartets, then we'll talk about my last quartet!" (Wilson 1994, 437.)

The concept of "complete" works is often connected to artistic infertility in the Russian cultural discourse. According to Marina Tsvetaeva in her essay "Bryusov and Balmont":

> Бальмонт, узнав о выпуске Брюсовым полного собрания сочинений с примечаниями и библиографией:
> – Брюсов вообразил, что он классик и что он помер. (Tsvetaeva 1994, 58.)

> Balmont heard that Bryusov had released the complete edition of his works with comments and bibliography:
> "Bryusov imagined that he was a classic and that he was dead."

Another interesting passage on the subject of the complete edition can be found in *Shostakovich in Memories of his Daughter Galina, Son Maxim and Reverend Mikhail Ardov*, which I believe reveals the general attitude towards this problem in Shostakovich's social group around the time that *Preface* was composed:

> А еще я вспоминаю такую сценку, дело происходило в 1959 году. Мой отец сидит в своем кресле в нашей столовой на Ордынке и, прихлебывая чай, просматривает газеты.
> – Послушай, – говорю я ему, – сегодня двадцать второе июля, ровно год со дня смерти Зощенки. В приличной стране уже начало бы выходить полное собрание сочинений.
> – В приличной стране, – отзывается отец, – он был бы еще жив. (Ardov 2003, 51.)

> I can remember a little scene in 1959. My father sits in his armchair in our dining room on Ordynka street and looks through newspapers while sipping tea.
> – Listen, – said I, – today is the 22nd of July, exactly a year since Zoshchenko's death. In a decent country the complete edition of his works would already start to be published.
> – In a decent country, – said my father, – he would still be alive.

It is clear that the complete edition is not something a living artist can wish for during his lifetime. It is better to be creative and alive then dead and venerated by the descendants in the form of a complete edition of one's works.

Writing the *Preface to the Complete Edition of my Works* gives the impression that Shostakovich is staging his own death. *Preface* thus becomes an instance of the "death of the author" – to quote a famous title by Roland Barthes (1984, 63–69).

Of course, Barthes uses this catchy combination of words metaphorically. However, *Preface* can be seen as one of the rare occasions where Barthes's notion,[27] coined for a totally different matter, can be used most unequivocally, suggesting that the author "really" is dead in some way. And this factor further complicates our perception of the text. The whole picture seems to be a real phantasmagoria: in order for the text to be what it claims to be, the author has to be dead. Once again, the amount of information given to the recipient of the text is excessive and contradictory. Thus, the result is verbosity, or "empty words".

Turning to the figure of Shostakovich's narrator as well as the relationship between author and narrator in *Preface*, according to Bakhtin (cf. Section 3.1), *skaz* is used to bring a narrator figure into the text. What kind of narrator does Shostakovich construct with his *skaz*-technique, and what is his role? This strange narrator, who misremembers Pushkin's poetry, mixes bureaucratic lexis with colloquial expressions, stutters, repeats himself and seems unable to build his own discourse without substantial help provided by clichés – just who is he?

27. Of course, Barthes's "death of the author" was designed primarily as an equally metaphoric counterpart to the "birth of the reader".

Chapter 4

The Death of the Author as an Aesthetic Activity

4.1. Author and Protagonist

Before examining the actual qualities of the narrator in *Preface*, two items need clarification. One is the distinction between the narrator and the character in *Preface*. The other is the relationship between those textual elements and the actual author. My methodology in this regard is primarily based on Mikhail Bakhtin's essay *Автор и герой в эстетической деятельности* ["Author and Protagonist in Aesthetic Activity"], written in the 1920s.

I propose calling the narrator of *Preface* its protagonist or main character since the text does not give sufficient reason to distinguish between separate narrators and characters. There is no reason to suspect that the quotation of Pushkin's poem and a subsequent reflection on it are not actually narrated by the same character. The frequent use of the first person pronoun suggests that the textual utterance can be seen as self-descriptive, the "lyrical self" of the text being both narrator and character. Bakhtin mentions several possibilities of this kind of fusion.

It is the relationship between the character and the author that I consider most important, however. In his essay, Bakhtin examines different types of relationships between an author and his character (or "hero", as Bakhtin says), focusing on the general difference between the author's and character's consciousness. The hero is the constant "other" to the author:

> Между тем эстетическое сознание, сознание любящее и полагающее ценность, есть сознание сознания, сознание автора *я* сознания героя-*другого*; в эстетическом событии мы имеем встречу двух сознаний, принципиально неслиянных, […] и это сознание героя конкретно локализуется (конечно, степень конкретности различна), воплощается и любовно завершается. Сознание же автора, как и гносеологическое сознание, незавершимо. (Bakhtin 1979, 79–80.)

> At the same time, aesthetic consciousness, which loves and cherishes, is the recognition by the authorial "I" of the hero-*other*. In the aesthetic event we can

> witness the encounter of two consciousnesses that are fundamentally separated […], and that hero's consciousness is specifically localized (with a varied degree of localization), incarnated and finalized. The author's consciousness, just like gnoseological consciousness, is unfinalizable.

This statement by Bakhtin is crucial for understanding *Preface*. Its protagonist has a name: "Dmitri Shostakovich" – just like the actual composer of *Preface*. However, it is important to understand that in spite of this similarity, also manifested in the name "Dmitri Shostakovich" in the signature part of *Preface* (bars 83–90), these two are by no means identical. The author, Dmitri Shostakovich, localizes a certain aesthetic concept – i.e. the character, the "other" – within the *Preface*, and giving this "other" the composer's own name is most importantly an aesthetic fact, a specific textual strategy.[28] This "other" may resemble the author in many ways, including specific biographical details – but the two are never identical (see Bakhtin 1979, 132).

4.2. Plagiarism

As previously mentioned, Shostakovich signs his *Preface* in a very distinct way. In bars 83–90, the name and surname of the composer are set to his musical monogram (see music example 2.13). As mentioned in Section 1.5, considering the abundance of ambiguity in *Preface*, this is a surprisingly unambiguous gesture. Yet even this seemingly straightforward gesture has a twist.

Let us ask ourselves: what exactly does Shostakovich sign, or attribute to himself with his monogram? What is the textual entity that precedes the signature part of *Preface*? The answer is obvious: the DSCH-motive set to the composer's name is a signature to Pushkin's "History of a Versifier". Shostakovich signs "besmirching the page, publishing and sinking into oblivion", recognizing them all as parts of his own creative process. But at the same time we all know, that the description of this process was still written by Pushkin. It thus appears that in the *Preface*, Pushkin's poem is signed by someone other than its actual author. The dubious activity of signing someone else's work has a clear name: it is called plagiarism.

28. This device was not invented by Shostakovich. Two prominent writers constantly used this kind of textual strategy. Probably the most famous Russian poet to frequently name the main hero after himself was Vladimir Mayakovsky – whom Shostakovich knew personally and who happened to be among Shostakovich's few favourite poets, according to a questionnaire that the composer answered in 1927 concerning his creative process (quoted among others in Shostakovich 2000, 473). Another poet to use this device was Yevgeny Yevtushenko, the poet of Shostakovich's 13th Symphony and *The Execution of Stepan Razin*. For more on the analysis of Yevtushenko's "I" as a literary strategy in connection with *Preface*, see Kozlovski 2015, 219.

The problem of plagiarism in connection with Shostakovich has at least three possible contexts. The most obvious one is intertextuality. Shostakovich, with his passion for intertextual devices, constantly used other composers' works as sources for quotations, allusions and other types of musical communication. He used to speak openly about this side of his creative activities, but it can hardly be understood as plagiarism according to traditional standards. It is no coincidence that Shostakovich frequently gave his composition students a particular piece of advice: *надо заимствовать у настоящих мастеров* [One should borrow from real masters] (Stepanova 2007, 45).

Two other aspects of "borrowing" are more dubious, and Shostakovich was none too open about them. We can be rather certain that there were occasions when he was either doing someone else's job without being acknowledged for it as an author, or he had accepted someone else's work and made it public under his own name. An example of the former is the infamous story about Ivan Dzerzhinsky's opera *Тихий Дон* [*And Quiet Flows the Don*], which premiered in Moscow and Leningrad in the 1930s. Dzerzhinsky was a "red" composer, a member of RAPM (Russian Association of Proletarian Musicians), who did not even manage to graduate from the composition faculty of the Leningrad Conservatory. His composition and orchestration skills were rather limited, so both the Bolshoi Theatre in Moscow and MALEGOT (Leningrad Academic Maly Opera Theatre) hired different people to "edit" the poorly-written unfinished score of his opera. This process apparently included not only orchestrating but also re-writing parts of the score and even composing completely new material (Vlasova 2010, 176–177). Nikolai Golovanov, the chief conductor of the Bolshoi Theatre, edited the score for the Moscow premiere in 1936, and Shostakovich had done the same work for MALEGOT a year earlier (Vlasova 2010, 212). Needless to say, he was never credited for it.

There are also examples of Shostakovich's publishing material by other people under his own name. Although we know of no *musical* instances of this kind – hardly surprising given his skills and work ethic – this ethos was apparently not applicable to verbal media. Shostakovich had to write many different verbal texts throughout his life. It is well-known that in later years he constantly accepted help from fellow musicians when it came to writing articles for newspapers and magazines as well as public speeches. Musicologist Daniil Zhitomirsky was apparently one of those "ghost" writers, recalling that Shostakovich sometimes did not even read the articles, limiting his participation to signing finished texts (Wilson 2006, 369–370).

All of these instances can be seen in *Preface*. The composer's intertextual aspirations (e.g. borrowing from real masters) manifest themselves in polygenetic quotations, and even Shostakovich's own musical monogram functions in a similar way (See Chapter 2 for a detailed discussion). The same monogram

was also used to sign the slightly altered poem by Pushkin, whereas the actual author or a substantial contributor is left uncredited. However, it is the third instance of potential plagiarism that I find most peculiar.

As previously mentioned, some parts of *Preface* include references to bureaucratic stylistics. Shostakovich was fond of playing with different stylistic registers of language in his everyday life (judging from his letters), but he left bureaucratic language, except for some clearly ironic utterances in private letters, almost exclusively for official discourse. Communicating about musical topics with colleagues and teaching composition appears not to have required bureaucratic speech elements. In other words, Shostakovich-as-composer would most likely avoid using "bureaucratisms" and "dead" speech clichés in communication, but Shostakovich-as-public-figure, e.g. as secretary of the Composer's Union and Deputy of the Soviet High Council, would express himself almost exclusively in such clichés.[29] The *Preface*, with its abundance of bureaucratisms, is a striking exception (discussed as a part of *skaz* technique in Chapter 3).

All of this demonstrates the complicated and ambiguous relationship with the very idea of authorship and plagiarism of the narrator/character of *Preface*, i.e. the textual concept sharing the same name and certain biographical features with the actual Dmitri Shostakovich. He quotes (or better yet, misquotes) Pushkin's poem, signs it with his own name, and proceeds to the "reflection" part of the *Preface* in the stiffest bureaucratic manner. His "stream of consciousness" reflection on the poem is activated by and proceeds only with the help of speech clichés belonging to Soviet official discourse.[30]

4.3. Monument to Oneself

The narrator of *Preface* has another quality that is related to the profile as described in the previous section having to do with the syntactic structure of the

29. Daniil Zhitomirsky remembered listening to one of Shostakovich's public speeches "… with growing irritation, but also with compassion and sympathy. How alien and artificial seemed the text he was pronouncing. Banal, journalistic phrases, textbook quotations, cumbersome and wordy statements. And the way he read this all out! In a quick patter, omitting all punctuation marks, and with intonation that seemed intentionally lacking in sense. It was as if he was poking fun at himself in the role of official orator" (quoted in Wilson 2006, 371).

30. It is worth mentioning that there was a certain group of Soviet composers that fits the profile suggested by the *Preface*, i.e. the so-called "composers of democratic orientation": Marian Koval, Ivan Dzerzhinski, Lev Knipper, Tihon Hrennikov and so on. Those people were constantly scorned for plagiarism by Prokofiev, Shostakovich, Shebalin, and Myaskovsky. They were mostly Communist Party members, occupied important positions in organizations such as the Composers' Union, and were extremely active and even aggressive in articulating their opinions in public (see Vlasova 2010).

verbal text of *Preface*. This peculiarity, however, while quite important for the characterisation of the narrator, is not exactly *skaz*, which is why it fits better in a discussion on plagiarism.

Let us have a look at the beginning of the verbal text of *Preface*, specifically the Pushkin quotation which was slightly altered by the composer:

Мараю я единым духом лист. Внимаю я привычным ухом свист. Потом всему терзаю свету слух, Затем печатаюсь, и в Лету – бух!	I scribble a page in a single breath. I listen with an accustomed ear to whistling. The ears of the world around me I torment. Then I get into print, and into oblivion – Bang!

It is clear that this textual excerpt is rather dynamic: out of 21 words constituting this segment, four are present-tense verbs, suggesting action or motion. Motion is also suggested by the onomatopoetic interjection "бух" (bang), which evokes the sound of a heavy object hitting the surface of the water. All five words suggesting action or motion are marked in red.

The rest of the text is very different from the beginning:

Такое предисловие можно было б написать не только к полному собранию моих сочинений, но и к полному собранию сочинений многих, очень, очень многих композиторов, как и советских, так и зарубежных. А вот и подпись: Дмитрий Шостакович, народный артист СССР. Очень много и других почетных званий. Первый секретарь Союза композиторов РСФСР, просто секретарь Союза композиторов СССР, а также очень много других весьма ответственных нагрузок и должностей.	Such a preface could have been written not only to the complete edition of my works, but also to the complete edition of the works of very many other composers, Soviet as well as foreign. So, here's the signature: Dmitry Shostakovich, national artist of the USSR, and recipient of many other honourable titles: first secretary of the Union of composers of the RSFSR, and secretary of the Union of composers of the USSR. He also has many other very responsible commitments and obligations.

In Russian, there are only two verbs among these *65* words[31]: "было б написать". There is no indication of any action within the text: only possibility is expressed, in this case by the conditional form of the verb "быть". The main verb "написать" is given in its infinitive form, which has no time reference. The whole construction, due to the properties described above, avoids giving the slightest suggestion of action. Compared to the Pushkin quotation, where every fourth word makes the situation more dynamic, this part of the text can be described as extremely static.[32]

The "authorial" static part as opposed to the dynamic "quotation" part appears contradictory. In 1966, there was no doubt as to who was seen as more dynamic and alive between Pushkin (the actual author of "History of a Versifier") and Shostakovich (whose name was used as a signature for Pushkin's poem). Pushkin was a dead classic, while Shostakovich was a living composer whose path in art was by no means finished. Pushkin was a bronze monument; Shostakovich was a living person. However, in the twisted, ambiguous world of *Preface*, this relationship is substantially altered. Shostakovich's "other", the narrator/character of *Preface*, appears to be an immobile, static, localized and finalized figure, whereas the picture projected by Pushkin seems to be very dynamic and alive.

I would like to offer a possible explanation to this peculiar textual detail. Shostakovich's "otherness" has already drawn attention in research literature. Arkadi Klimovitsky wrote in his article concerning Shostakovich's use of the DSCH-motive:

> "Чуждость, странность по отношению к себе" - эти чувства сполна испытал Шостакович, […] и тогда, когда назначенный государственным композитором, был обречен пребывать на пьедестале - как монумент, подменивший себя живого. (Klimovitsky 1996, 263.)

> "Otherness, strangeness in relationship to himself" – Shostakovich did experience the full measure of those sensations […] when he was appointed the State composer. He had to stand on the pedestal – as a monument, substituting for his living self.

This "other", localized in the second and third parts of the *Preface*, seems to be a dead, lifeless monument. This is the real face of the narrator/character

---

31. This is partly due to a peculiarity of Russian grammar: there exists a vast variety of elliptical constructions where verbs are omitted. However, the ratio of one verb per 30 words is still extremely unusual.

32. The problem of the dichotomy "dynamic vs. static" in Shostakovich's music has already been researched. Boris Gasparov offers an ingenious insight into the nature of static constructions in Shostakovich's symphonies by drawing parallels between them and the genre conventions of the Social realism novel (see Gasparov 1996, 214–243).

of this text; its essence consists of bureaucratic lexis, tautologies and stuttering, thus defining its musical and verbal characteristics. Its resemblance with Shostakovich as a living being is extraneous, based on formal criteria such as sharing the same name. This bronze monument is juxtaposed to the nameless versifier of Pushkin's poem, i.e. someone for people laugh at. This opposition seems to be in favour of the graphomaniac versifier.[33] How is it possible that Shostakovich favours a ridiculed personification of graphomania over someone whose name is Dmitri Shostakovich and who signs texts with the composer's own DSCH-motive?

Let us recall Shostakovich's constant fear of artistic infertility (cf. Section 3.5). Two composers he mentioned in connection with these fears are Rossini and Sibelius. His mentioning both composers usually coincided with periods of creative crisis (see Makarov 2000, 29) or other composition blocks. Shostakovich wrote to Isaac Glikman on 24 January 1967 – less than a year after composing *Preface*:

> У меня особых перемен в жизни нет. Чувствую себя хорошо. Каждый день пытаюсь что-то сочинить. Но ничего не получается, от этого мало оптимизма. С другой стороны, вспоминаю биографию Сибелиуса. Последние годы своей жизни он ничего не сочинял и занимал лишь должность Гордости финского народа. (Shostakovich 1993, 224–225.)

> My life goes on without any big changes. I feel well. Every day I try to compose something. But nothing comes out of it – and that does not bring optimism. On the other hand, I recall the biography of Sibelius. The last years of his life he did not compose anything; he just occupied the position of the Pride of the Finnish people.

The opposition of life without creativity (and without happiness) versus creativity of any kind as expressed in this passage is quite significant. It also seems to double the opposition in *Preface* – between a nameless versifier and the monumentalized "other" of Shostakovich. In Pushkin's poem, the whole existence of a nameless graphomaniac is reduced to creativity. Nothing is told about his possible other, extratextual life, but inside the textual reality his only activity is "scribbling the page" (as well as all of the consequences of this act). It is precisely this activity that the "Dmitri Shostakovich" of the *Preface* lacks. The complete works are mentioned as a finalized entity, but the narrator/hero of *Preface* no longer composes. He occupies many important positions, but he is devoid of any trace of artistic creativity within the textual reality.

33. It is significant that Shostakovich did try several times to set to music Pushkin's *Памятник*, a famous Russian adaptation of Horace's *Exegi monumentum* – and always failed. He mentions it to Glikman in March 1967 – just a year after the completion of *Preface* (see Shostakovich 1993, 227).

This explains why the speech characteristics of Pushkin's graphomaniac can be perceived more positively than the "authorial" text in *Preface*. The only thing that matters seems to be the presence of artistic creativity in Pushkin's poem – and its absence in the reflection on part. Shostakovich's strategy is an exceptional one: he creates an "other" as a part of a textual reality, an "other" that according to several extraneous characteristics appears close to the actual author of *Preface*. However, among other peculiarities, he denies this "other" the very quintessence of art, namely, the creative ability. The conclusion we can draw is rather remarkable: in *Preface*, Shostakovich stages his own artistic death.

4.4. Death is All Around Us

The notion that death is a central topic of Shostakovich's late works has become commonplace in the research literature. It has also been noted that Shostakovich's art song output has death as its central topic. However, Philipp Ross Bullock (2010, 207–227) mentions, that in the vocal works from Shostakovich's late creative period, death is strongly linked with the theme of artistic creativity. Almost every late vocal opus has songs with metatextual qualities, where some parts of the creative process become main themes. The Blok cycle op. 127 ends with "Музыка" ["Music"] declaring the superiority of aesthetic experience over life; *Сюита на стихи Микеланджело* [*Suite on Verses by Michelangelo*] op. 145 contains two numbers dedicated to Dante as well as a song entitled "Творчество" ["Creativity"]; Tsvetaeva songs op. 143 have Pushkin and Akhmatova among their topics – and even the last vocal opus by Shostakovich, *Четыре стихотворения капитана Лебядкина* [*Four Verses of Captain Lebyadkin*] op. 146, with all of its twisted humour, still contemplates specific topics that are very related to artistic creativity. Bullock goes even further by linking death and creativity, suggesting that Shostakovich was "…repeatedly drawn to poets whose deaths formed a central feature of their poetic persona and mythology" (Bullock 2010, 218).

Bullock also points out by quoting Bakhtin that there are two things in life that one cannot experience "from within" – namely, their own birth and death. Later he further develops this idea:

> Although the inability of readers to distinguish between author and hero was explicitly parodied in "To a Critic", the first of the *Satires*, in other songs Shostakovich appears to project his own personality into the lyric space occupied by the hero, thereby allowing himself to experience the gift of his own death, a solipsistic act in which he becomes the co-creator of his own projected image. It is as if, by accepting the gift of the poets' deaths, he adumbrates his own death,

> thereby framing it in aesthetic terms and pre-empting his own posthumous completion. Death allows the author to project a completed image of himself into the work of art (very often by the use of musical signatures such as DSCH motive or in the form of obsessive auto-citations), taking upon himself in life the responsibility of posthumous completion that normally belongs to others. […] Yet this obsession with death is not only an articulation of his human mortality; it is simultaneously an aesthetic fixation and a constructive principle in his attitude towards poetic speech. (Bullock 2010, 221.)

This is true of Shostakovich's late vocal music, and it is equally applicable to *Preface*. It is impossible to determine whether the intertextual apparatus of *skaz* and quotations serves to unfold the mystery of death, or if death is just a convenient, broad enough topic for the development of artistic devices and to boost artistic creativity.

But death also had a certain social aspect – and it is this very context that I would like to bring up in connection with the *Preface*. Every decade in the 20th century could give Shostakovich certain reasons for optimism. In the 1920s he was seen as a young prodigy, largely due to the international success of his first Symphony . In the 1930s in spite of the anti-formalism campaign of 1936, he was undoubtedly the most prominent Soviet composer of his time. In the 1940s he solidified this position, even making the cover of *Time* magazine during WWII. Given that his first serious fears of artistic infertility manifested themselves in the 1950s, it may not have been a particularly optimistic time for Shostakovich himself, but it certainly was an optimistic time for the Soviet Union as a whole. Stalin's death, Khrushchev's denunciation of the cult of Stalin in 1956 started a new epoch known as the "Thaw", undoubtedly a time of hope for many Soviet people. Nor did the general optimism immediately vanish after Khrushchev's replacement by Leonid Brezhnev in 1964. For a certain time, there was still hope – before the beginning of the "Brezhnevian stagnation period". For many members of the intellectual elite, the transition to stagnation was marked by three open campaigns against literary figures: the denunciation of Boris Pasternak after he received the Nobel prize in literature, the trial of Joseph Brodsky in 1964 and the Sinyavsky–Daniel trial in 1966.

The last of these campaigns was against literary critic Andrey Sinyavsky and translator Yuli Daniel. Both were living double lives, with a legitimate existence in the Soviet Union while publishing their fiction writings in the West under the pseudonyms Abram Terz and Nikolai Arzhak. It took Soviet authorities several years to figure out the scheme that enabled them to publish abroad and to realize who were the real people behind the aliases. After a wild public smear campaign, Sinyavsky and Daniel were sentenced

to seven and five years in prison camps, respectively. For many intellectuals, this marked the failure of de-Stalinisation[34] and a return to the Stalinistic past. The trial ended on 14 February 1966 – two weeks before Shostakovich composed *Preface*.

I find it significant that Shostakovich's vocal works coincide almost perfectly with this turn. In 1960–1966 his vocal music mainly explored themes that conveyed the optimism of his time. The social criticism of *Satires* op. 109 and *Five Poems from "Krokodil" Magazine* op. 121 is optimistic in its pathos: criticising something implies the possibility of change. The 13th Symphony has become a cult "Thaw" text, touching on very timely topics, such as antisemitism, the Stalinist legacy, making a career and gender equality. All of these vocal works are rooted in the present and oriented towards the future. This fully coincides with the general trend among the Soviet intellectual elite in the late 1950s–early 1960s: optimism, a desire for progress and a bright future. However, the end of the Thaw marked a change: the failure of de-Stalinization and the frustration it caused turned the intellectuals and artists toward the past, toward eternal truths and timeless topics[35]. Shostakovich did as well; all of his vocal works after *Preface* deal exclusively with eternal themes, and none of them are settings of texts by living authors: no more Dolmatovsky or Yevtushenko, but rather Blok, Michelangelo and Dostoyevsky. *Preface* occupies an ambiguous position at a crossroads: Shostakovich quotes a number of his own works of the early 1960s, but his treatment of the interwoven theme of death and creativity already points towards his late works.

In summary, the general optimism and hope that emerged during the Thaw had faded away by 1966 and so had that of Shostakovich. Based on conversations with Edison Denisov and other composers of the younger generation, Elisabeth Wilson states, "Although Shostakovich's presence remained the greatest single influence in Soviet music, the composer gradually appeared to lose his relevance and, up to a point, his moral authority for these composers" (Wilson 2006, 341). At least to some extent, his personal state of mind can also be described in the words of Galina Ustvolskaya after the premiere of the 14th Symphony: "He hears, of course, they say he is old and has out-written himself" (Bullock 2010, 224).[36] From the *Preface* onwards,

34. I here highlight an account of the Sinyavsky–Daniel campaign given by Alexandr Tvardovsky in his *Новомирский Дневник* [*Diary of Novyi Mir*]. Despite his poor opinion of Sinyavsky and Daniel's texts, he saw the trial and the conviction as a "reality of a terrible turn of events, without any place for suppositions containing hope" [реальность ужасного по существу поворота вещей, в которой уже не оставалось места каким-либо обнадеживающим предположениям] (Tvardovsky 2009, v.1, 427).

35. For more on this subject, see Vail & Genis (1988).

36. Galina Ustvolskaya's statement has been originally published in: Simon Bokman – *Variations on the Theme: Galina Ustvolskaya*.

Shostakovich seemed to be obsessively trapped in the interwoven themes of death and creativity.

4.5. The Concert of 28 May 1966 as a Death of the Author

I have already mentioned that *Preface* can be seen as a bizarre realization of Roland Barthes's metaphorical "Death of the author". However, the first public performance of this work made this realization almost entirely real – since the heart attack Shostakovich had in the end of the concert was a dangerous one, and it made him spend more than three months in a hospital. Thus, the circumstances surrounding the first performance of this work provide yet another death-related context.

Preface was composed for a specific occasion, namely, to open an evening dedicated entirely to the music of Shostakovich in the Small Hall of Leningrad Philharmonic on 28 May 1966. Shostakovich himself played all the piano parts in the concert. Other performers featured were singers Yevgeny Nesterenko, Galina Vishnevskaya and the Beethoven String Quartet. This concert was part of the festivities celebrating the 60th anniversary of the composer's birth, but this concert was in many ways a special one. The concert program contained as many as three premieres: the 11th Quartet op. 122, *Five Romances from "Krokodil" Magazine* op. 121 and *Preface*. The same concert program was supposed to be repeated the next day in the same hall.

A personal account of the preparations for this concert can be found in Galina Vishnevskaya's memoirs (Vishnevskaya 2011, 493–497). Shostakovich was extremely nervous since the weakness of his right hand was steadily increasing and he had not performed at important public concerts for two years (Moshevich 2004, 162–169). The day had been extremely hot, which made Shostakovich uneasy. The *Preface* that opened the concert did not go according to plan since Nesterenko – probably due to nerves – made some mistakes at the very beginning of the piece. Most likely it was the combination of nerves and the heat, but Shostakovich was sent to hospital immediately after the concert. The diagnosis was heart failure, and the composer had to spend the whole summer convalescing.

That concert was to become the last occasion for Shostakovich to perform publicly as a concert pianist. He still played privately for small groups of colleagues and other people close to him and even planned to return to the stage. This however never came to pass, and although the concert of 28 May 1966 was not Shostakovich's conscious pianistic "swan song", that concert metaphorically marked the death of Shostakovich as a concert pianist.

I find it ironic in a most macabre way that the piece to open that concert was *Preface*, so strongly connected to both themes of Shostakovich's late

output, i.e. death and creativity. Furthermore, consider for a moment that this concert was meant to celebrate the 60th anniversary of the composer Dmitri Shostakovich; meanwhile, pianist Dmitri Shostakovich played the piano part of a premiere by Dmitri Shostakovich to a text by Dmitri Shostakovich named *Preface to the Complete Edition of My Works and a Brief Reflection apropos this Preface*, which happened to contain the name "Dmitri Shostakovich" in the text and several DSCH motives as signatures in the music. Quite an extraordinary gesture. As if in order to counterbalance the overwhelming ambiguity of the work, doubts of his own artistic creativity, various death motifs, artistic devices, meaning overloads and *skaz*-like techniques, the author tried to leave as many traces of himself as possible by repeatedly re-confirming and multiplying his own identities. What a strange combination of artistic modesty, technical pyrotechnics and the persistent statement of his "I"!

Olga Digonskaya wrote in an article "От подписи к монограмме" ["From signature to monogram"]:

> Кто спорит – Шостаковичу была присуща скромность, но она ли одна? О шокирующей амбивалентности в поведении молодого Шостаковича – редком сплаве деликатности и самомнения, застенчивости и дерзости, неуверенности и нахальства – без устали писали его современники. (Digonskaya 2013, 243.)

> There can be no argument: Shostakovich was modest, but was he only modest? His contemporaries wrote ceaselessly about a shocking ambivalence in young Shostakovich's behavior, a rare combination of sensitivity and self-esteem, shyness and pride, insecurity and arrogance.

Though Digonskaya wrote about Shostakovich the teenager, this picture has a striking resemblance to the image of the composer as he was in 1966. *Preface* contains both extreme self-centeredness (in the abundance of references to the author's self within the text) and overtly exaggerated modesty (by referring to his own creativity as "page besmirching"). To counteract the apparent egocentrism of his multiple self-references, he also alluded to death and its many faces. Shostakovich created an image of artistic death in the text, connected it to his numerous phobias about being artistically dead himself and marked the death of a certain era in his work, culminating in a disastrous first performance, which actually marked Shostakovich's last performance as a concert pianist. To top it off, having almost physically died during the concert, metaphorically speaking, Shostakovich virtually accomplished not only the death of the work and the performer but almost the death of the author as a physical being.

This is why I consider this piece so important and why a "one-text analysis" is applicable to such a seemingly modest, short and marginal work. As John Lennon said, "The more that I see, the less that I know for sure." That is very true of my understanding of *Preface*. The more I look into this piece, the less I know for sure. However, I still think that looking into it is well worth the effort.

Chapter 5

Conclusion: Historical roots of a certain artistic research tale

5.1. Artistic Research and Plato's Cave

In this chapter – which in spite of all of the previous verbosity of this thesis, is its last one – I would like to come back to the subject of artistic research and its meaning to me. After all, my doctorate is an artistic one, and during all of my years at the DocMus department, probably one of the thorniest topics has been understanding the notion of artistic research (AR hereafter) and applying this notion to my own activities.

After all these years, I still think that AR can be seen as a certain variation on a theme of Plato's Cave. The definition is still unclear, the ratio of research components and artistic components is undefined – and the whole field is still governed by opinions and intuition, as if people are looking at a vague reflection on a wall of a cave. I cannot even count the number of times I had to answer the question "What makes your research AR?"

I do not blame my colleagues for questioning my research in terms of AR. In fact, I understand them quite well now. AR is a relatively young concept, and it was even younger when I started my doctoral studies. Its place among other forms of academic activities was not self-evident; its position alongside traditional musicology had yet to be established. What's more, artistic practice itself was changing, with more and more performers nowadays orienting themselves towards AR. And then, of course, there was the oddity of my own subject of research. Indeed – how is interest in Russian literary theory connected to my artistic practice? How does knowing writings of Tynyanov make me a better artist?

Ironically, I chanced upon the definitive answer to this question at the very end of my doctoral journey, at the point when people had grown tired of asking me that perennial question. Maybe it was due to this peace of mind that I realized that I had been looking for answers in the wrong places – I am ready to go even further and claim that I was asking myself the wrong question. Just as many of my fellow musicians do, I took for granted that we all know what

artistic practice is and that we just do not know how to connect artistic practice with research. But is that really so? Do we really know what the essence of our artistic practice is? What is the driving force of our music-making? What makes each person's music-making different from another's? In the next sections, I will go through my search for answers, which, according to the title of Viktor Shklovsky's book, I entitle the "energy of misconception".

5.2. (Mis)reading Propp

The first misconception I would like to mention was my acquaintance with Vladimir Propp's writings. I read his famous *Морфология волшебной сказки* [*Morphology of the Fairy Tale*, originally published in 1928] at the very beginning of the 2000s while still a piano student at the Sibelius Academy. I can still remember being very excited by the fact that every folktale could be explained with thirty-one functions of action and seven functional heroes (Propp 2001). No wonder the French structuralists of 1960s were so deeply affected by this book – the text is indeed a very impressive one. *Morphology of the Fairy Tale* was even seen (and sometimes still is) as one of the key texts of Russian Formalism, which is a double misconception, however, since Propp was never an active member of the Russian Formal School and *Morphology of the Fairy Tale* was published in 1928, after the Formal School had largely ceased to exist.

My opinion of Propp's goals and methods changed after I read his next work, *Исторические корни волшебной сказки* [*Historical Roots of the Fairy Tale* 2000, originally published in 1946]. If *Morphology of the Fairy Tale* answers the question "How is the fairy tale made?", then *Historical Roots of the Fairy Tale* answers the question "Why is it made this way?". On the other hand, the "energy of misconception" was so significant that the whole structuralism movement took a substantial part of its inspiration from misreading Propp.[37]

For me personally, the 1946 book by Propp was an even bigger revelation then the one from 1928. Somehow the "tightrope-walking" of simply figuring out the functions of the plot, though impressive, was not very deep. Realising the historical depth behind the researched subject, however, implied a totally different level of understanding; it was not about making brilliant assumptions or creating a theory to explain everything, but rather about a true and faithful knowledge of a subject, of seeing further and deeper than previous researchers. Reading *Historical Roots of the Fairy Tale*, made an astonishingly "real" impression on me. Propp's essentialism and slightly pedantic work ethics could be old-fashioned, but the honesty was impossible to overlook. Even in the 1960s,

37. For more on the polemics between Propp and Claude Lévi-Strauss, see Dundes (1997, 39–50).

when his book had already become an important work for structuralists, he continued doing research in a manner that he saw appropriate to himself. Neither the trend nor even the admiration of colleagues had much effect on him. That was truly impressive – and touching.

I immediately perceived the possibility of applying it to my playing. After all, I have always felt that failing on the true path is better than succeeding on a false one. My playing has gone through many stages – both successful and disastrous – but a certain essentialism has always been a part of it. At that moment, I started thinking that this stubborn essentialism, this slowness in accepting new ideas, this constant desire to do things "right" combined with a constant disapproval of rules imposed on me from without – were potentially valuable qualities. Not because they were better than others, but because they were essential parts of my artistic personality. It seemed that I was on the brink of not only learning something new about the outside world – but also learning something about myself.

5.3. Misconception and Emigration

Another important discovery – also connected to misconceptions and learning about oneself – occurred to me during my doctoral studies. At the same time, I was finishing my bachelor's degree in Russian Language and Literature at the University of Helsinki. One of the last courses I took before completing my degree was a lecture course by Gennady Obatnin on Russian Émigré Literature of the 1920s–1930s. I have always enjoyed the "formal" aspect of literature. Posing the question "How is the text made?" and discovering an answer to it gave me a pleasure that was often more powerful than the immediate emotional impression after reading the text.

Most of the courses at the University followed this same path. I enjoyed Tolstoy's *Anna Karenina*, but discovering the clever construction of the novel was even more gratifying. Konstantin Balmont's poem *Au!* not only struck me with its subtle sensual content, but also with its beautiful combination of male and hyperdactylic clausulas. However, reading Nabokov, Poplavsky and other Émigré authors was different. Not only their choice of subjects but also their style created a strong feeling that I was reading about my own personal, long-forgotten experience.

That feeling was a rather ambiguous one. Recognising myself in texts was the kind of reading I hesitated to allow for myself. Not reading a text like a "real" philologist would do – but rather letting my own emotions rise to the surface felt disturbing. But the feeling of recognising some important parts of myself in the texts, being able to see clearly – that was simply too hard to resist.

That was the moment I decided that I need to bring this experience to my musical side. I planned a concert program dedicated to Émigré composers. After several years of thinking, re-planning, re-scheduling and a substantial degree of self-doubt, the program took its final shape: four contemporary works in the first half of the program and two works by Rachmaninov and Medtner after the intermission.

I have had thoroughly-planned programs before. Some of them were rewarding both for the audience and for myself. But this one was different. This felt like I was discovering things about myself; playing six different works by six different composers felt like a journey through a very dear land that had been abandoned long ago. My previous attempts at conceptualizing appeared to be driven by the "energy of misconception". This one was different.

The moment I played this program coincided with the unfolding of the refugee crisis in Europe. Many of the people I know saw my concert program as being connected to the current political agenda: taking sides, making stands, trying to articulate an opinion. Sometimes I was even praised for bringing up such a subject at such a time. Little did they know that these talks always left me in a puzzled state of mind because for me the refugee crisis just happened to coincide with my important moment of self-discovery. For me, connecting my performance activity to a contemporary "burning" subject seemed wrong and cheap; I was probably about as irritated as Propp after reading Lévi-Strauss's review in 1960 – by no means a negative one, but nevertheless completely missing the point.

By that time, I was more sure about my artistic aspirations. I recognised a certain essentialist quality in my own artistic personality; I seemed to live in a creative space firmly connected to a twisted time frame that gladly includes the past and tries to avoid the present, which I felt even while playing contemporary music – and I obviously valued my own personal experience as well as progress on the path of self-discovery more than any issue the outside world was trying to superimpose on me. All I needed was a theoretical basis to summarize these observations. And I did find it – in research literature about Shostakovich.

5.4. Phenomenological Breakthrough

The book that made such a lasting impression on me was Levon Hakobyan's *Дмитрий Шостакович: опыт феноменологии творчества* [*Dmitri Shostakovich: An Essay on Creativity's Phenomenology*] (2004). Here are several quotations that possibly told me even more about myself than about Shostakovich's creativity:

Как и любому из нас, ему [Шостаковичу] было знакомо чувство недостаточной полноты жизни - одно из неотъемлемых витальных чувств любого нормального человека. (Hakobyan 2004, 9.)

Just like anyone of us, he [Shostakovich] new the feeling of life's missing completeness, which is one of the inalienable feelings every normal human being experiences.

Между тем, по мере того, как эпоха, которую Шостакович представил и выразил со столь исчерпывающей полнотой уходит все дальше в прошлое, для нас все более реальной становится возможность отряхнуться от груза нашей собственной генетической принадлежности к ней и попытаться взглянуть на нее с более объективных, непредвзятых позиций – как на уникальную в своем роде цивилизацию (за неимением лучшего, не столь прозаичного обозначения придется называть ее "советской цивилизацией"), сумевшую, помимо воли своих отцов-основателей и их наследников, создать поистине великое, глубоко метафизическое искусство, в применении к которому любые суждения в терминах оппозиции "советского" и "антисоветского" (или в каких-либо иных идеологически ангажированных терминах) кажутся мелкими и совершенно неадекватными, отражающими лишь самый поверхностный и точки зрения вечности скорее малоинтересный аспект явлений. (Hakobyan 2004, 12.)

While the epoch which Shostakovich represented and expressed with such compelling authority fades more and more into the distant past, we get a better chance of shaking away the burden of our own genetic connection with it. We can try to observe it from an objective, unbiased standpoint – as a unique civilization (unfortunately, we will have to call it "Soviet civilization" for a lack of a better, less dull term), which – in spite of the will of its founding fathers and their heirs – managed to create a truly great, deeply metaphysical art. Applying terms like the opposition of "Soviet" vs. "anti-Soviet" or any other set of ideologically biased terms seems very shallow and inadequate, reflecting only the surface level and posing a rather uninteresting aspect of phenomena from the standpoint of eternity.

Поскольку речь зашла о метафизическом аспекте "советскости", вкратце остановимся на этом странноватом предмете [...]. Homo soveticus узнает себя в "последних людях", некогда предугаданных Ницше, – последних не в смысле качества человеческого материала, а в смысле близости к последним, эсхатологическим безднам [...]. [Это породило] собственную тень: обостренное переживание "последних" экзистенциальных вопросов, окрашивающее иронию и "подмигивание" (без которого жизнь в пространстве между безднами была бы невыносима) в цвета ни с чем не сравнимой трагической серьезности. Такова психологическая подоплека особой разновидности юмора, присущей людям советской эпохи, в особенности людям поколения и воспитания Шостаковича (Hakobyan 2004, 13.)

> Since we started talking about the metaphysical aspect of "Sovietness", let us have a brief overview of this somewhat strange subject. […] *Homo soveticus* recognizes himself in the "last men", prophesied by Nietzsche; last, not in terms of human material, but in their close proximity to the last, eschatological abyss […]. [This created] its own shadow, namely the acute experience of the "last" existential questions that add some incomparable seriousness to the irony and "winking" (without which life in the space between abysses would be intolerable). That is the psychological background of a very special sort of humour, which is very typical for people of the Soviet epoch – especially for people of the same age and upbringing as Shostakovich.

I could have quoted half a dozen pages – they all, almost every sentence, seemed to have a double function for me: telling something about myself, and through that telling, explaining why Shostakovich's music became so special for me at such an early stage. Just as reading Propp beyond the *Morphology of the Fairy Tale*, and just as reading Nabokov as more than literature, I suddenly realised that my journey with Shostakovich was after all a way to keep alive and nourish, albeit intitally at only a semi-conscious level, the essential part of myself that was still connected to that special, Soviet breed of metaphysics, which very few people around me seemed to understand or even notice – and which was nevertheless constantly shaping my relationship with reality. One of the key features of this relationship is a permanent inability to see a word as a simple, unambiguous whole combined with an exaggerated interest towards the sphere of "otherworldliness" (Hakobyan 2004, 14).

This constant feeling of "otherworldliness" scattered around me led to a constant search for a position that would enable a view of this "otherworldliness" – beyond the obvious, the visible, the immediate. This was a feature that I noticed within myself at a rather early age. I have never had any problem seeing this traces of "otherworldliness" around me; as a matter of fact, the most trivial objects and events around me could bear those traces:

> Ощущение постоянного и близкого присутствия онтлогической "инакости", которая превыше любых персонификаций, было, вероятно, знакомо советскому человеку не хуже, чем мистикам раннего средневековья (это ощущение гениально, одной неподражаемой фразой выражено у Венедикта Ерофеева: "Петушинский райсобес - а за ним тьма во веки веков и гнездилище душ умерших"). (Hakobyan 2004, 17.)

> A Soviet human, most likely felt the constant presence of an ontological "otherness" that is bigger than any of its personifications, as acutely as mystics of the Early Middle Ages. This feeling found its unique, genial form in a phrase from Venidikt Yerofeev's poem "Moskva – Petushki"[38]: "Petushki Rajsobes

38. Venidikt Yerofeev (1938–1990) became a cult writer largely due to his only big work –

> [Regional Bureau of Social Help] – and behind it darkness forever and to the ages of ages, and the dwelling of dead souls"

My immigration to Finland did not change things much. My world-view was still a chaotic one, combining seemingly irreconcilable features in a strange entity that often nobody found logical except myself, but now I had to live with this world-view in a new country. I was relatively young and very determined to integrate into the new society, and equally determined not to let unresolvable differences between my "new" and "old" cultures, as well as old inner contradictions get in my way. And what was my "old" culture? The Soviet world I was born into? The free-thinking intellectual academic circle of my parents? The horrors of "wild capitalism" of the early 1990s? Or the new, emerging Belarussian identity that was still largely unshaped by the time I left the country in 1998? Or was it a new world around me? All these and many other questions, stockpiled somewhere within me, gave my life a feeling close to one described by Hakobyan – "a feeling of life's missing completeness". I still desperately looked for "otherworldliness" around us – since:

> Советскому человеку – в частности тому, гипотетическому идеализированному слушателю, для которого в первую очередь создавалась музыка Шостаковича, – звучащая материя (да и всякая иная эстетическая реальность) интересна главным образом постольку, поскольку за ней кроются экзистенциальные бездны. (Hakobyan 2004, 18.)

> For a Soviet person – particularly the certain hypothetical, ideal listener that Shostakovich's music was primarily written for, – sound matter (and in fact any other aesthetic reality) was interesting mainly for the existential abysses hiding underneath it.

When I read this, my doctoral project finally seemed to have a goal. Not to finish the thesis, not to get the degree – but to find my own place in life, to build my own little universe around me – and to master and get to know this universe. The building material for this universe could be anything, trivial or sublime – just as Shostakovich managed to create his texts by using all kinds of building material. Past or present, it did not matter, since what mattered was the inevitable longing for the "existential abyss" behind the aesthetic reality. From this point of view, the distinction between my "real" artistic practices and "dubious" artistic research attempts and the difference between playing and writing seemed entirely inadequate. Both were nothing more and nothing less than steps on the path of researching my life, constructing and modelling the strange conglomerate of my past, my present and my future at the same

---

the "poem" in prose, describing a railway journey from Moscow to the town of Petushki.

time – as if they would be simultaneously open to construction and modelling, without too many boundaries of time frames, making scattered bits and pieces into some entity, coherently incoherent and distortedly whole.

From this standpoint, both parts of my doctoral project – the artistic and the written one – though very different from each other, followed the very same road – namely retracing steps, both my own and the steps of my culture. The same can be said about my written thesis – applying literary concepts to another field is a normal practice in a literary-oriented society. Therefore, studying philology, getting to know an important part of myself through it and after that coming back to music was not just a valid research process – it was essentially being true to my own self.

5.5 Concluding the conclusion

Realising this confirmed my intuitive reaction to the question "Why is what you do AR?" I knew that even while I did not know the answer in the same way I know it now, my intuition and the "energy of misconception" still guided me towards a true understanding and deeper knowledge of myself. I do not aspire to change trends in humanitarian studies; I do not aspire to write a whole new chapter in Shostakovich research. But I am certain that writing this thesis was a very important journey for me; one could describe it as a breakthrough to a certain existential abyss. I also hope that this will not be the end of the journey for me but rather a completion of a certain stage. Therefore, I would like to end this thesis with Shostakovich's own word: his description of the feeling *after* the creative process is over, with a sincere hope that I will always be able to approach and continue my own activities in the same manner:

> Полного удовлетворения никогда не испытывал, обычно предвосхищение такового, наличествующее в процессе работы, по окончании произведения переживается не в полной мере (отсутствует "медовый месяц"), возникает потребность дальнейшего творчества...
> Подавленности, а тем паче отвращения к работе, однако, не наблюдается. (Shostakovich 2000, 480.)

> I never get complete satisfaction, just the anticipation of it during the process of work. After finishing the work, this feeling [of complete satisfaction] is not experienced fully. there is no "honeymoon". I get the urge to continue creative activities…
> However, I feel no depression, and in any case no disgust towards my work.

Bibliography

Fiction

Пушкин [Pushkin], Александр 2007. *Стихотворения Александра Пушкина*. Санкт-Петербург: Наука.

Ерофеев [Yerofeev], Венедикт 1977. Москва–Петушки. Paris: YMCA-Press.

Евтушенко [Yevtushenko], Евгений 1983. Собрание сочинений в 3-х томах. Том 1. *Стихотворения и поэмы. 1952–1954*. Москва: Художественная литература.

Зощенко [Zoshchenko], Михаил 1986. Собрание сочинений в трех томах. Том 1. Ленинград: Художественная литература.

Letters and memoires

Михаил [Ardov] Ардов 2003. *Наш отец DSch: Шостакович в воспоминаниях сына Максима, дочери Галины и протоиерея Михаила Ардова*. Москва: Захаров.

Карагичева [Karagicheva], Людмила 1997. “Пишите как можно больше прекрасной музыки...”. Из писем Д. Д. Шостаковича К. А. Караеву, *Музыкальная Академия* 1997/4.

Козинцев [Kozintsev], Григорий 1973. *Пространство трагедии*. Москва: Искусство.

Логунова [Logunova], Наталья 1969. Одесские поэты и писатели, в *Новое русское слово* 25.5.1969, Nr. 20530.

Цветаева [Tsvetaeva], Марина 1994. *Герой труда*, в Собрание сочинений в 7 томах, Т. 4. Москва: Эллис Лак. 12–63.

Твардовский [Tvardovsky], Александр 2009. *Новомирский дневник*. В 2 томах. Т. 1.1961–1966. Москва: ПРОЗАиК.

Шостакович [Shostakovich], Дмитрий 1993. *Письма к другу: Письма Д.Д.Шостаковича к И.Д.Гликману*. Санкт-Петербург: Композитор.

Шостакович [Shostakovich], Дмитрий 1997. *Письма Дмитрия Дмитриевича Шостаковича Борису Тищенко с комментариями и воспоминаниями адресата*. Санкт-Петербург: Композитор.

Шостакович [Shostakovich], Дмитрий 2000. Ответы на вопросы анкеты Р.И. Грубера по психологии творческого процесса, в Ирина Бобыкина (сост.), *Дмитрий Шостакович в письмах и документах*. Москва: Гос. центральный музей музыкальной культуры им. Глинки.

Shostakovich, Dmitri 2013. *Letters of Dmitri Dmitriyevich Shostakovich to Boris Tishchenko with the addressee's commentaries and reminiscences*. Translated by Asya Ardova. St.-Petersburg: Compozitor.
Вишневская [Vishnevskaya], Галина 2011. *Галина. История жизни*. Москва: Никея.

Research literature

Бахтин [Bakhtin] Михаил 1979. Автор и герой в эстетической деятельности, в *Эстетика словесного творчества*. Москва: Искусство. 7–180.
—— 1994. *Проблемы творчества Достоевского*. Киев: NEXT.
Barthes, Roland 1984. La mort de l'auteur, *Le bruissement de la langue. Essais critiques* IV. Paris: Seuil. 63–69.
Bullock, Philip Ross 2010. The poet's echo, the composer's voice: monologic verse or dialogic song?, in Pauline Fairclough (ed.), *Shostakovich studies 2*. Cambridge: Cambridge University Press. 207–228.
Чудакова [Chudakova], Мариэтта 1972. *Мастерство Юрия Олеши*. Москва: Наука.
—— 1979. *Поэтика Михаила Зощенко*. Москва: Наука.
Дигонская [Digonskaya], Ольга 2013. От подписи к монограмме, в Людмила Ковнацкая (сост.), *Шостакович в Ленинградской консерватории: 1919–1930*. В 3 томах. Т. 2. Санкт-Петербург: Композитор. 241–261.
Dundes, Alan 1997. Binary Opposition in Myth: The Propp/Lévi-Strauss Debate in Retrospect, *Western Folklore* Vol. 56, No. 1. 39–50.
Эйхенбаум [Eikhenbaum], Борис 1918. Иллюзия сказа, в *Книжный угол* 1918/2. 10–13.
—— 1919. Как сделана "Шинель" Гоголя, в *Поэтика. Сборники по теории поэтического языка*. Петроград: ОПОЯЗ. 151–165.
—— 1987. Лесков и современная проза, в *О литературе: Работы разных лет*. Москва: Советский писатель. 409–424.
Fanning, David 1988. *The Breath of the Symphonist: Shostakovich's Tenth*. London: Royal Musical Association.
—— 2004. *Shostakovich: String Quartet No. 8*. London: Routledge.
Гаспаров [Gasparov], Борис 2009. *Пять опер и симфония*. Москва: Классика-XXI.
Акопян [Hakobyan], Левон 2004. *Дмитрий Шостакович: опыт феноменологии творчества*. Санкт-Петербург: Д. Буланин.
Hicks, Jeremy 2000. *Mikhail Zoshchenko and the poetics of skaz*. Nottingham: Astra.
Jakobson, Roman & Lévi-Strauss, Claude 1987. Baudelaire's "Les Chats", in *Language in Literature*. Cambridge: Harvard University Press. 180–197.
Хентова [Khentova], Софья 1996. *Пушкин в музыке Шостаковича*. Павловск: Типография ВИР.

Климовицкий [Klimovitsky], Аркадий 1996. Еще раз о теме-монограмме D-Es-C-H, в Людмила Ковнацкая (сост.), *Д. Д. Шостакович: сборник статей к 90-летию со дня рождения*. Санкт-Петербург: Композитор. 249–268.

Козловский [Kozlovski], Кирилл 2015. Опыт контекстуализации произведения Д. Шостаковича «Предисловие к полному собранию моих сочинений и краткое размышление по поводу этого предисловия», в *Русская филология* 26.

Крепс [Kreps], Михаил 1986. *Техника комического у Зощенко*. New York: Chalidze Publications.

Лотман [Lotman], Юрий 1970. *Структура художественного текста*. Москва: Искусство.

MacDonald, Malcolm 1982. Words and Music in Late Shostakovich, in Christopher Norris (ed.), *Shostakovich: The Man and his Music*. London: Lawrence and Wishart. 125–147.

Макаров [Makarov], Евгений 2001. *Дневник. Воспоминания о моем учителе Д. Д. Шостаковиче*. Москва: Композитор.

Мандельштам [Mandelshtam], Осип 1987. Разговор о Данте, в *Слово и культура: Статьи*. Москва: Советский писатель. 107–152.

Минц [Mints] Зара 1999. Функция реминисценций в поэтике Ал. Блока, в *Блок и русский символизм*. Санкт-Петербург: Искусство-СПБ. 362–388.

Moshevich, Sofia 2004. *Dmitri Shostakovich, pianist*. Montreal: McGill-Queen's University Press.

Науменко [Naumenko], Татьяна 2006. Дмитрий Шостакович в современном музыковедении: "феномен двойного смысла", *Музыкальная Академия* 2006/3. 136–141.

Петрушанская [Petrushanskaya], Елена 2006. Шостакович-читатель, *Музыкальная Академия* 2006/3. 109–119.

Пропп [Propp], Владимир 2000: *Исторические корни волшебной сказки*. Москва: Лабиринт.

—— 2001. *Морфология волшебной сказки*. Москва: Лабиринт.

Савенко [Savenko], Светлана 1996. Слово Шостаковича, в Людмила Ковнацкая (сост.), *Д. Д. Шостакович: сборник статей к 90-летию со дня рождения*. Санкт-Петербург: Композитор. 359–366.

Семкин [Semkin], Алексей 2008. Зощенко и Довлатов: О двух великих рассказчиках, *Нева* 2008/11 (http://magazines.russ.ru/neva/2008/11/se7.html, accessed 17.10.2016)

Sheinberg, Esti 2000. *Irony, Satire, Parody and The Grotesque in The Music of Shostakovich*. Farnham: Ashgate.

Шкловский [Shklovsky], Виктор 1919. Искусство как прием, в *Поэтика. Сборники по теории поэтического языка*. Петроград: ОПОЯЗ. 101–114.

Соколов [Sokolov], Иван 2006. По направлению к альтовой сонате, *Музыкальная Академия* 2006/3.

Степанова [Stepanova], Ирина 2007. *К 100-летию Шостаковича. Вступая в век второй: споры продолжаются*. Москва: Фортуна ЭЛ.

Тарановский [Taranovsky], Кирилл 2000. *О поэзии и поэтике*. Москва: Языки русской культуры.

Tynyanov 1977: Тынянов [Tynyanov] Юрий 1977. Достоевский и Гоголь (К теории пародии), в *Поэтика. История литературы. Кино*. Москва: Наука.

Вайль [Vail], Петр & Генис [Genis], Александр 1988. *60-е. Мир советского человека*. Ann Arbor: Ardis.

Виноградов [Vinogradov], Виктор 1980. Проблема сказа в стилистике, в *Избранные труды. О языке художественной прозы*. Москва: Наука. 42–55.

—— 2003. Язык Зощенки, в *Избранные труды. Язык и стиль русских писателей: от Гоголя до Ахматовой*. Москва: Наука. 264–281.

Власова [Vlasova], Екатерина 2010. *1948 год в советской музыке*. Москва: Классика-XXI.

Волошинов [Voloshinov], Валентин 1929. *Марксизм и философия языка. Основные проблемы социологического метода в науке о языке*. Ленинград: Прибой.

Wilson, Elisabeth 2006: *Shostakovich. A life remembered*. Second edition. London: Faber.

—— 2012. Through the Looking Glass: Reflections on the Significance of Words and Symbolsin Shostakovich's Music, in Alexander Ivashkin and Andrew Kirkman (ed.), *Contemplating Shostakovich: Life, Music and Film*. Farnham: Ashgate. 3–18.

Жирмунский [Zhirmunsky], Виктор 1964. *Драма Александра Блока "Роза и крест": литературные источники*. Ленинград: Издательство Ленинградского университета.

Зощенко [Zoshchenko], Михаил 1928. О себе, о критиках и о своей работе, в *Мастера современной литературы. Михаил Зощенко. Статьи и материалы*. Ленинград: Academia. 7–11.

Жук [Zhuk], Ольга 2007. ФЭКС. От "Женитьбы" к "Шинели", в *Имена. События. Школы: Страницы художественной жизни 1920-х годов*. Вып. 1. Санкт-Петербург: РИИИ. 52–70.