

[英 汉 对 照]

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经济发展理论

对利润、资本、信贷、利息和经济周期的探究

THE THEORY OF ECONOMIC DEVELOPMENT

AN INQUIRY INTO PROFITS, CAPITAL, CREDIT, INTEREST, AND THE BUSINESS CYCLE

[美]约瑟夫·阿洛伊斯·熊彼特 著

(一)

【 卷 頭 詞 】

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出版说明

在西方学术思想的发展流变中,出现过很多影响深远的经典著作,这些著作穿越时空,为人们长久研读,有的甚至影响了整个人类文明的发展进程。这套《西方学术经典文库》(英汉对照本),精选了其中最有代表性的一些名著,计划达到一百部,将陆续分批出版直至全部完成。

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为加以区别,原文中的英文注释,注释号用①、②……形式表示;中文译者注释则以〔1〕、〔2〕……形式表示。至于英译本中出现的原文页码和特殊索引等问题,中文译者在“译者后记”中将予以解释、说明。另外,在英文原著中,有一些表示着重意义的斜体或大写等字体,考虑到读者可以在对照英文阅读中看到,因此在中译文中,没有照样标出,还望读者理解。

九州出版社

The Theory Of Economic Development

By *Joseph Alois Schumpeter*

English Translation By

Redvers Opie

本书根据 Harvard University Press 1934 年版本译出

Preface To The English Edition

Some of the ideas submitted in this book go back as far as 1907; all of them had been worked out by 1909, when the general framework of this analysis of the purely economic features of capitalistic society took the shape which has remained substantially unaltered ever since. The book was published for the first time, in German, in the fall of 1911. When, after it had been out of print for ten years, I consented, not without some reluctance, to a second edition, I omitted the seventh chapter, rewrote the second and the sixth, and shortened and added here and there. This was in 1926. The third German edition is merely a reprint of the second, from which also the present English version has been made.

I should be passing a very damaging verdict on what I have done and thought since the book first appeared, if I were to say that my failure to make alterations of other than expository consequence was caused by a belief that it is satisfactory in every detail. Although I do consider both the outlines-what might be termed the "vision"-and the results as correct in the main, there are many points on which I now have another opinion. To mention but one, by way of example: when the theory of the business cycle, which the reader finds in the sixth chapter, was first worked out, I took it for granted that there was a single wave-like movement, viz. that discovered by Juglar. I am convinced now that there are at least three such movements,

英文版序言

这本书所提出的某些思想可以追溯，远到 1907 年；到了 1909 年，所有这些思想和观点都已经整理有序，那时关于资本主义社会纯经济特征的这种分析的总框架已经形成，而且自此没有发生重大的改变。本书第一次出版是以德文形式，在 1911 年秋天。在它停止出版 10 年之后，当时我有些勉强地同意了印刷第二版，我删掉了第七章，重新写了第二章和第六章，并且在文章的某些地方做了缩减和增补。这是在 1926 年。德文的第三版仅仅是第二版的重印，现在的英文译本也是根据德文第二版翻译的。

如果说，在本书这次再版中，我除了对其评注以外没有其他任何改动，是因为我相信原书中每一个论点都是让人满意的，那我将是对本书自第一次问世以来我所做的和所想的做了一个非常有害的判断。尽管我确实认为本书的纲要——或者被称作“观点”——以及本书的结论在总体上是正确的，但是也有许多地方我现在有其他的看法。我只举一个例子来说：当经济周期理论第一次提出时，读者可以在第六章找到，我当时理所当然地认为只存在一种单一的波浪式运动，也就是尤格拉所发现的那种周期。但是我现在相信至少存在三种这样的运动，

probably more, and that the most important problem which at present faces theorists of the cycle consists precisely in isolating them and in describing the phenomena incident to their interaction. But this element has not been introduced into the later editions. For books, like children, become independent beings when once they leave the parents' home. They lead their own lives, while the authors lead their own also. It will not do to interfere with those who have become strangers to the house. This book has fought its own way, and rightly or wrongly has won its place in the German literature of its time and field. It had seemed to me best to leave it undisturbed as much as possible. I should hardly have thought of an English translation but for the suggestion and encouragement of my eminent friend Professor Taussig.

For similar reasons, I have not followed the example of my great teacher Böhm-Bawerk, who with infinite care took notice of every objection or critique and embodied his own comments in his later editions. It is not any want of respect towards those who did me the honor of careful criticism of my argument that leads me to limit controversy to the minimum. I have to confess, however, that I have never come across an objection on essential points which carried conviction to my mind.

In aim and method, this book is frankly "theoretical." This is no place for a *professio fidei* on method. Perhaps I think somewhat differently now about the relation between "factual" and "theoretical" research than I did in 1911. But my conviction stands that our science cannot, any more than others, dispense with that refined common-sense which we call "theory" and which provides us with the tools for approaching both facts and practical problems. However important may be the bearing of new masses of unanalysed, especially statistical, facts upon our theoretic apparatus — and undoubtedly

可能还更多；而且当前经济周期理论家所面临的最重要的问题是精确地把它们分开来，并描述它们之间相互作用所产生的各种现象。但是我没有在本书后来的版本中把这一要素引用进来。因为书籍就像孩子们一样，当他们一旦离开父母的家，就成为独立的人了。他们过着自己的生活，而作者也有他们自己的生活，我们不应该去干预那些离开了家成为局外的人。本书已经开拓出了它自己的路，不管是对的还是错的，它在其所处的时代和研究领域中，在德文文献中已经赢得了某种地位。对我来说，看起来最好是应尽可能地让它不受干扰。要不是由于我的受尊敬的朋友陶西格教授的建议和鼓励，我几乎就没有想到要出一个英文版本。

也由于同样的原因，我没有遵照我的伟大的导师庞巴维克的方式办事，他在他出书以后的版本中，极其细心地关注每一个反对或批评的意见，并加上他自己的评论。而我对于那些对我的论点提出仔细批评的人——这是我所荣幸的事，我却把争论限制到最低限度，这绝不是我对他们缺乏任何尊敬。然而我必须坦言，我从来没有遇到过这种情况，即一种在实质性问题上的反对意见，并且这个意见在我看来具有说服力。

很显然，就目的和方法而言，本书是“理论性”的，这里不是作为方法上的一种信仰表白的地方。关于“事实”研究和“理论”研究的关系，我想，或许我现在的想法和1911年有所不同了。但是，我仍然坚信，我们的科学，和其他任何事物一样，不能没有我们称之为“理论”的那些被提炼了的常识，这些常识为我们考察事实和实际问题提供了工具。不管新的众多的未经分析的事实，尤其是统计上的事实，对我们的理论工具的关系是多么重要——毫无疑问，

increasing wealth of factual material must continually suggest new theoretical patterns, and thereby currently and silently improve any existing theoretical structure—at any given stage *some* theoretical knowledge is a prerequisite to dealing with new facts, that is with facts not already embodied in existing theorems. If this knowledge remains rudimentary and subconscious, it may be had theory but it will not cease to be theory. I have not been able to convince myself, for example, that such questions as the source of interest are either unimportant or uninteresting. They could be made so, at all events, only by the fault of the author. I hope, however, to supply before long the detailed material which is here missing by more “realistic” studies in money and credit, interest, and cycles.

The argument of the book forms one connected whole. This is not due to any preconceived plan. When I began to work on the theories of interest and of the cycle, nearly a quarter of a century ago, I did not suspect that these subjects would link up with each other and prove closely related to entrepreneurs' profits, money, credit, and the like, in precisely the way in which the current of the argument led me. But it soon became clear that all these phenomena — and many secondary ones — were but incidents of a distinct process, and that certain simple principles which would explain them would explain also that process itself. The conclusion suggested itself that this body of theory might usefully be contrasted with the theory of equilibrium, which explicitly or implicitly always has been and still is the centre of traditional theory. I at first used the terms “statics” and “dynamics” for these two structures, but have now (in deference to Professor Frisch) definitively ceased to use them in this sense. They have been replaced by others,

随着大量事实材料不断增加，新的理论模式也必将不断地被启示，从而逐步地，静静地改进现有的任一理论结构——在任何给定的阶段，具有某些理论知识是处理新的事实的一个先决条件，因为这些事实还没有体现在现存的理论中。如果某个知识是粗浅的而且是下意识的，那么可以说它是一种坏的理论，但它仍然不失为一种理论。比如说，我至今还不能让自己确信诸如利息的来源之类的问题是既不重要也不令人感兴趣的。可以这样来看待这些问题，但无论如何，那只是由于作者的过错。但我仍然希望，通过在货币、信贷、利息以及经济周期方面的一些更加“现实”地研究，能够在不久提供详尽的资料，这些资料正是现在这里所缺乏的。

本书的论点形成一个相互联系的整体，但这并不是由于事先周密的计划。大约在 25 年前，当我开始从事利息理论和经济周期理论的研究时，我并没有怀疑这些课题将会彼此间相互联系，并与企业家的利润、货币、信贷等等类似的问题有紧密的联系，而且这些恰好在当时以论点的方式向我表现出来。但是不久就变得很清楚，所有这些现象——包括许多次要的现象——都只不过是另一个不同过程所引起的事件，而且将用来解释这些现象的那种简单的原理也会用来解释特殊过程本身。结果表明，这些理论本身对我们是很有用的，并且可以与均衡理论相对应，均衡理论不论是明显地还是含蓄地曾经总是，并且现在仍然是传统理论的核心。起初，我用了“静态”和“动态”这两个名词来表示这两种结构，但是现在（遵从弗瑞希教授），我明确地说不再使用这两个词表示这个意义。它们已经被其他的词所替代了，

which are perhaps clumsy. But I keep to the distinction, having repeatedly found it helpful in my current work. This has proved to be so even beyond the boundaries of economics, in what may be called the theory of cultural evolution, which in important points presents striking analogies with the economic theory of this book. The distinction itself has met with much adverse criticism. But is it really untrue to life or artificial to keep separate the phenomena incidental to running a firm and the phenomena incidental to creating a new one? And has it necessarily anything to do with a "mechanical analogy"? Those who have a taste for delving into the history of terms should rather, if they feel so inclined, speak of a zoological analogy; for the terms static and dynamic were, although in a different sense, introduced into economics by John Stuart Mill. Mill probably had them from Comte, who, in turn, tells us that he borrowed them from the zoologist de Blainville.

My cordial thanks are due to my friend Dr. Redvers Opie, who with unparalleled kindness undertook the arduous task of translating a text which proved very refractory to the operation. We have decided to omit the two appendices to Chapters I and III of the original, and also passages or paragraphs here and there. In some places, the exposition has been modified and a number of pages have been rewritten. As the argument itself has nowhere been altered, I think it superfluous to give a list of the changes.

JOSEPH A. SCHUMPETER
CAMBRIDGE, MASSACHUSETTS
March, 1934

可能这些替代的词看起来有些拙劣。但是我仍然坚持这种区别，因为我不断地发现它们在我现在的研究工作中有很多帮助。即使超越经济学范畴，这种情况在其他理论中已经被证实，即我们称之为文化演进的理论；这种文化演进理论，在重要的论点上，与本书的经济理论有惊人的相似之处。这种区别本身曾经遇到过敌对的批评。但是，如果把日常经营一家公司所产生的现象同新创一家公司所产生的现象区分开来，难道这样真是与现实生活不相符合，或者是人为的吗？难道它同一种“机械的类比”就一定有着某种关系吗？那些对钻研词语的历史感兴趣的人，如果他们觉得应该这样做，倒应该谈到某种动物学上的类比。因为静态和动态这两个词语是由约翰·斯图亚特·穆勒引入经济学的，虽然它们有着不同的含义。穆勒可能是从孔德那里引入的，而回过头来，孔德又告诉我们他是从动物学家德·布兰维尔那里借用来的。

我诚挚地感谢我的朋友雷德弗斯·奥佩博士，他给予了我无可比拟的帮助，承担了这样一种非常难驾驭的原文的艰苦的翻译工作。我们决定删去原版第一章和第三章的两个附录部分，以及其中的一些段落或小节。在某些地方，我们改动了一些说明性文字，好些页数也重新改写了。由于书中的论点本身没有任何改动，故我觉得做一张更改对照表是多余的。

约瑟夫·A. 熊彼特

美国，马萨诸塞州，坎布里奇

1934年3月

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THE THEORY OF ECONOMIC DEVELOPMENT

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[美] 约瑟夫·阿洛伊斯·熊彼特 著

叶 华 译

(一)



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CHAPTER I

The Circular Flow Of
Economic Life As Conditioned
By Given Circumstances^①

The social process is really one indivisible whole. Out of its great stream the classifying hand of the investigator artificially extracts economic facts. The designation of a fact as economic already involves an abstraction, the first of the many forced upon us by the technical conditions of mentally copying reality. A fact is never exclusively or purely economic; other-and often more important - aspects always exist. Nevertheless, we speak of economic facts in science just as in ordinary life, and with the same right; with the same right, too, with which we may write a history of literature even though the literature of a people is inseparably connected with all the other elements of its existence.

Social facts are, at least immediately, results of human conduct, economic facts results of economic conduct. And the latter may be defined as conduct directed towards the acquisition of goods. In this sense we also speak of an economic motive to action, of economic forces in social and economic life, and so forth. However, since we are concerned only with that economic conduct which is directed towards the acquisition of goods through exchange or production, we shall restrict the concept of it to these types of acquisition,

① This title is chosen with reference to an expression used by Philippovich. Cf. his Grundriss II. Bd., Introduction.