

● 田卫疆 著
● 新疆人民出版社

丝绸之路与东察合台汗国史研究



丝绸之路研究丛书

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总 序

“丝绸之路”是对远古以来连接亚洲、非洲、欧洲的东西交通道路的雅称。它不仅是世界上最长的一条通商之路，而且是东西方文化交流之路，是人类历史上的大动脉。世界历史上的许多重要事件，就发生在这条道路上或其周围地区。几千年来，它在世界历史上留下了光辉灿烂的一页，而且随着人类社会的发展，它将继续对东西方文化的交流与发展产生深远的影响和积极的推动作用。

“丝绸之路”具有数条干线和许多支线，但大致可以分作四条：（一）草原丝绸之路，指横贯欧亚大陆北方草原地带的交通路；（二）绿洲丝绸之路（也有人称作沙漠之路），指经过中亚沙漠地带中片片绿洲的道路；（三）海上丝绸之路，指经过东南亚、印度，到达波斯湾、红海的南海路；（四）西南丝绸之路，指经四川、贵州、云南、西藏、广西而到印度、东南亚以远的通道。

一般人所说的“丝绸之路”，主要是指绿洲之路。这条“丝绸之路”从中国长安出发，经过河西走廊到达新疆，然后分北路、中路、南路西行。其中北路经伊吾（今新疆哈密）、北庭（今吉木萨尔）、阿力麻里（今伊宁）西去里海沿岸。中路经车师前王庭（今新疆吐鲁番西），过焉耆（今焉

耆西南)、乌垒(今轮台东)、龟兹(今库车)、姑墨(今温宿)、疏勒(今喀什),越过帕米尔高原,直到地中海东岸地区。南路从阳关出发,沿塔克拉玛干大沙漠南缘,经鄯善(今新疆若羌)、且末(今且末西南)、精绝(今民丰北)、扞弥(今于田东)、于阗(今和田南)、莎车(今莎车)等地,然后越世界屋脊,过阿姆河到伊朗,直抵伊斯坦布尔(东罗马帝国)。

“丝绸之路”作为欧亚大陆的动脉,是世界历史发展的主轴,在这条道路上,塞人、羌人、丁零人、月氏人、匈奴人、突厥人、回鹘人、蒙古人自东向西迁徙;希腊人、阿拉伯人、雅利安人、粟特人自西向东迁移,各民族的兴衰,使丝路历史屡屡发生重大的变化。

“丝绸之路”是世界“文化之源”,在它的东西两端,产生了中国文明、埃及文明、印度文明、美索不达米亚文明、中亚文明、希腊文明等许多古代文明,成为世界文明的摇篮。在宗教方面,诸如祆教(即琐罗亚斯德教)、摩尼教、景教(即基督教)、佛教、伊斯兰教等都在这里诞生,对人类文化产生过重大的影响。

“丝绸之路”是东西方文化和科学技术交流的桥梁。自古以来,东西方文化和科学技术正是通过这条道路而相互传播的。中国的玉器、丝绸、瓷器、火药、造纸和印刷术,通过这条道路传到了西方;祆教、景教、摩尼教、佛教、伊斯兰教的文化艺术,又顺着这条道路传入了东方,促进了人类文明的发展和科学技术的进步。

“丝绸之路”虽然如此重要，但形成一门学科则为时不久。中国历史上不乏有许多文献和著作研究这条历史文化的大动脉，但基本上是以“东西交通史”为名的。日本学术界虽有许多这方面的著作问世，但也多是采用“西域学”的名称。自从德国著名地理学家李希特霍芬于 1877 年提出 Seidenstrassen 的术语后，德国汉学家艾伯特·赫尔曼于 1910 年正式采用为书名，即《中国和叙利亚之间的古代丝绸之路》。之后，Silk Road 这个英文名称被许多国家的学者采用。19 世纪末叶至 20 世纪初，一些欧洲的探险人物沿着古丝道考察，尽管他们之中有这样或那样的政治目的，但客观上，他们的研究对丝绸之路学的建立起到了推动作用。在东方，“丝绸之路”作为一门学科形成，则是始于 20 世纪中叶。

作为一种复杂的历史现象和文化现象，“丝绸之路”包含了人类社会得以维系的几乎全部因素。如果从某一单纯学科的角度去研究，必然会作出片面的论断。只有进行全方位研究，以多维视角去审视“丝绸之路”，诸如从哲学、历史、语言、宗教、文学、艺术、民俗、经济、考古、民族以及社会学、心理学、人类学、自然地理学、生态学、医药学、自然科学等各方面去研究，才有可能揭示“丝绸之路”上的许多疑惑不解的问题。同时，随着现代文明和科学技术的高度发展，世界各国人民对通过研究“丝绸之路”以各种形式深入和加强东西方经济、文化和科学技术交流的愿望和要求更加迫切，“丝绸之路”已经成为当今世界

各国注目的考察研究课题和旅游热点。

为此，我们编辑了这套《丝绸之路研究丛书》，将按三大系列介绍有关“丝绸之路”研究的最新成果，其中以专著系列为主，兼顾译著系列和普及系列。希望有助于推动中国丝绸之路学的研究，有助于各国人民对丝绸之路文明的全面认识 and 了解，有助于促进东西方经济、文化和科学技术的深入交流。

本丛书力求运用历史唯物主义的思想、观点和方法，对丝绸之路学涉及的方方面面作历史的、辩证的分析，并尽可能地从比较研究的角度出发，将某种丝路文化现象宏观地放到世界文化的大背景中进行研究和探讨。其选题注重学科的多样性和历史的延续性，也注意截取特定时期的横断面。有的则从某一特定点立论，对丝绸之路的古今文化、地理经济、民族语言、宗教习俗及其思维模式等作精辟的分析，并与中国当今的改革开放大业紧密结合，摒弃糟粕，阐扬精华，激励进取。

本丛书的作者，大多是学术界各方面的研究员、教授，具有相当深的学术造诣。此外，一些才华横溢的青年学者的著作也收入在内。本丛书的观点，不一定都与主编者一致。我们本着“百家争鸣”的精神，以博采众长的襟怀支持诸家学说的切磋；只要言之有理，持之有据，对丝绸之路学的建设能尽一家之责，这里便提供一鸣之地。

正值我们编辑这套丛书时，联合国组织的丝绸之路大考察已拉开了帷幕，中国纪念丝绸之路的各种活动也

广泛开展了起来，“中国丝绸之路研究中心”同时宣告成立，振兴丝绸之路的大旗已在中华大地上高高扬起。

丝绸之路作为人类共同的文明，国际上的研究我们非常欢迎。但是，作为中国段的“丝绸之路”，其研究中心理应在中国。很多问题，如果没有中国学者的努力，是难以彻底解决的。众所周知，新疆是世界各种文明的汇聚地，也是东西方文化交流的一个中心，没有新疆学者长期的实地考察和深入研究，要想解决丝绸之路上的许多症结问题是相当困难的。当然，要全面研究“丝绸之路”，还需要加强与国际学术界的广泛合作。

为此，我们特请新疆及国内外的学者们，用深邃的目光，穿透丝路华彩的表象，揭示其底层的奥秘，用最新的研究成果，向世界展现瑰丽的丝路文明。

我们的祖先开拓了丝绸之路，为中国找到了一条通向世界的门户，使中国与世界联系起来，世界的呼吸与我们息息相关。今天，我们振兴“丝绸之路”，也就是让世界重新认识我们。

周菁葆

1992年10月

The General Preface to the Series of Silk Road Studies

The term "Silk Road" has been an elegant one ever used for the great route that ties together the threads of history of China and the world and the east-west communications linking three continents, Asia, Africa, Europe. Not only was it a significant passage for the exchange of cultures between the East and the West. But the Silk Road was a great artery in the history of mankind. And in the history of the world it has witnessed innumerable important events which took place on or around it. In the past thousands of years this great route, together with what has been happening around it, has added a splendid page to human history. Furthermore, as it is believed, the ancient Silk Road, paving along the foot of human progress, will exert a profound impact on the exchanges and evolution of the eastern and western cultures in the future.

Contrary to general belief, the Silk Road is by no means just a single route. In fact, there were several major routes with many sub-routes attached to them. Generally, it is believed that the following four routes are of the most importance. 1) the transgrassland road; referring to the route across the northern Euroasian pastoral areas; 2) the oasis-silk road (also referred to the Desert Silk Road); referring to the routes across the stretches of oases found along the Great Deserts of Central Asia; 3) the ocean silk

road; referring to the route via Southeast Asia, India to the Persian Gulf and the Red Sea; 4) the south west silk road; referring to the passage via the provinces of Sichuan, Yunnan, Guangxi and Tibet to the areas far to India and Southeast Asia.

However, what the general public has regarded as the Silk Road is the oasis Route. This Silk Road, starting from ancient Changan (the present Xi'an) passing the Hexi Corridor (in the territory of the present Gansu Province) reached Xinjiang (in the Western Regions in its narrow sense), then stretching westward, forking towards the North, the Middle of the region and the South of the Oasis Silk Road, the northern route which reaches the areas along the Caspian Sea, passing from Yiwu (the present Harbi in Xinjiang), through Beiting (the present Jihmusar in Xinjiang), and Arrimari (the present Yining in Xinjiang). The Middle route, passing from the site of the Qiushiqian Court (west to the present Turfan in Xinjiang) through Yanji (south-west to the present Yanji country in Xinjiang), Ulai (east to the present Luntai in Xinjiang), Qiuzi (the present Kucha in Xinjiang), Kumor (the present Wensu in Xinjiang), Shule (the present Kashgar in Xinjiang), and the Pamir, reached the areas of the east Mediterranean. The southern route, passing from Shanshan (the present Roqiang in Xinjiang), through Qiemor (in Xinjiang), Jinjue (north to the present Mingfeng in Xinjiang), Wumi (east to the present Yutian in Xinjiang), Yutian (South to the present Hotan) and Yakand (the present Shache in Xinjiang), then crossing the Pamir, the Roof of the world, and Amur River, turning to Iran (the Ancient Persia), finally reached Istanbul (the capital of the ancient East Roman Em-

pire).

As the great artery across the Eur'asian Continent and one of the major shafts for the development of the world history, the Silk Road found Sakes, Chiangs, Ting Ling, Rus (Yueh-chin people), Hsiun-nu, Hans, Turkis, Oghuz and Mongols, migrating westwards from the East while ancient Greeks, Arabians, Aryans and Litos migrating eastwards from the West. The comings and goings of all these peoples, the risings and declinings of them, brought about frequent and significant changes to the history of the great route.

The Silk Road links the cradles of the great civilizations of the world. At the eastern and western ends of the Road emerged and developed the Chinese civilization, the Egyptian civilization, the ancient Indian civilization, the Mesopotamian civilization, the ancient Central Asian civilization, and the ancient Greek civilization, which constituted the origins of the civilizations of the modern world. It was also on and around the Silk Road that saw the emergence of many world religions, such as Zoroastrianism, Manichaeism, Christianity, Buddhism, Islam, etc., and these religions have played a very important role in shaping the Silk Road and have influenced human civilizations ever since in a tremendous way.

It is also true that the Silk Road was the bridge through which the cultures of the East and the West and the science and technology of different countries had been exchanged since very ancient times. It was through this route that the western culture and eastern culture, science and technologies spread over the East and the West respectively. The Silk Road saw Chinese porcelain,

gunpowder, paper producing techniques and arts of painting, spreading to the West while the cultures of Zoroastrianism, Christianity, Manichaeism, Buddhism, and Islam spreading to the East. These unprecedented exchanges of ancient cultures promoted human civilization and advanced science and technology for all mankind at that time.

Because of the importance of the Silk Road in human civilization, it was not long before the studies of it became a distinctive discipline. It is true that there are a great deal of historical records and writings in China about it. These kinds of studies, however, are under the name of the history of communications between the East and the West. It is worth noting that there have been many studies and publications by academic circles in Japan, but most of them have concentrated on surveys of the Western Regions. The Silk Road studies began to take shape when Baron Ferdinand von Richthofen, a great German geographer and explorer, used the term "de Seidenstrassen" in the year 1877. Later, the term was adapted by Albert Herman, a German Chinologist, in his book "The Ancient Silk Road between China and Syria". And since the term "Silk Road" has been recognized and adapted by scholars of many countries in the world. From the late nineteenth century to the early twentieth century, many European explorers conducted investigations and expeditions along the ancient Silk Road and they made a great number of discoveries unknown in the past. In spite of various political intentions they had while doing their surveys and making their discoveries, their investigations and studies gave a great push to the establishment of the discipline. And in the East, the studies of the Silk Road as a

discipline began in the middle of the twentieth century.

The Silk Road, as a complex historical and cultural phenomena, embodies almost all that maintains human society as it has been. Therefore, although any study of it from a single aspect of a certain subject would be possible, it is far from reaching complete conclusions. It is believed that, only if a kind of comprehensive and multi-dimensional approach is applied to the studies, can we reveal and solve such puzzling problems before us. This kind of multi-dimensional approach requires the involvement of as many subjects as they are needed, such as, philosophy, history, linguistics and languages, religions, literature, arts, folklore, economy, archaeology, ethnology, sociology, psychology, anthropology, geography, ecology and medicine. At the same time, other branches of natural science and technology will also help greatly in the studies. It is believed that with the development of modern civilization, science and technology, the peoples all of the world are hoping that they can know more about the Silk Road and that economic, cultural, scientific and technological exchanges between the East and the West can be furthered through this great route. This wish and demand have grown stronger and stronger. With this background, the Silk Road has become a world wide focus for academic endeavour as well as of tourism.

The Series of Silk Road Studies which are presented to the reader are an attempt to reflect the latest discoveries and achievements of the field by Chinese and foreign scholars. Three sections are included in the present Series: the first one is of academic researches, the second is of translations of writings about the subject by foreign scholars and the third is for the general public. We

hope that the publications of the Series will promote Silk Road studies, help people all over the world to know more about the great route and the civilizations it has carried on it and advance economic, cultural, scientific and technological exchanges between the East and the West.

The authors of the books of the Series have tried to analyze every aspect concerning the studies from the point of view of historical dialectical materialism. And endeavours are made to study a given cultural phenomenon about the Silk Road against the background of world civilization from the angle of comparative studies. The emphasis is taken on the diversity of topics and historical continuity. Some of the books concentrate on the studies of transverse sections of certain periods of the Silk Road, while the others contribute to the studies of particular traits about which new ideas are set forth in the analysis of past and present cultural patterns, geographical economical phenomena, languages of various peoples, religion, ethnic customs and divergent thinking patterns of the peoples along the Silk Road. Some authors have attempted to combine their studies with the reform and the open door policy of China in hope that the past can serve the present and show what we can learn from our ancestors.

Most of the authors are distinguished scholars of the field in China. And a number of books are written by young scholars. There is no demand that the views of the authors should be in conformity with that of the editors. Instead, we appreciate the contention of different schools and ideas in the studies, for we believe that it is the only way to promote the Silk Road studies. Therefore, any book, if it is based on the author's research

and sounds reasonable, and it may contribute whatever is of value to the Silk Road studies, will have a welcome place in the Series.

While the Series is on the way to the reader, we are very pleased to notice that the UNESCO has started with an integral study of the Silk Road involving scholars of many countries. Meanwhile, in China, various commemorative activities about the 2000-year anniversary of the great route have been carried on throughout the country. It is not a coincidence that the Centre for Silk Road Studies. Urumqi has been founded in Xinjiang, the most important section of the Silk Road. All this proves that a new age to rediscover and revitalize the great Silk Road has come to us.

The Silk Road is a part of the world civilization shared by all the people of the globe and we appreciate very much the studies that have been done by the scholars of other countries. On the one hand, we take it as the obligation of Chinese scholars that we should take the lead in studying the part of the Silk Road within this country, as we believe that many problems could not be solved without the efforts of Chinese scholars. What is more, as it is known to all, Xinjiang is the place in history in which all human civilizations converged in the ancient times and functioned as a key place for the cultural exchanges between the East and the West. Therefore, it would be extremely difficult to solve those problems which have been puzzling the international silk road study circle without the persistent investigations in the region and painstaking researches of Xinjiang scholars. It goes without saying, that a world wide cooperation in the studies is necessary and expected.