

第九册



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中国少数民族文字 珍稀典籍汇编

名誉主编 张公瑾
主编 黄建明 张铁山

◎ 中央民族大学中国少数民族语言与古籍研究所
◎ 国家民委少数民族古籍保护与资料信息中心

编



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Rare and Precious Tangut, Khitan and Jurchen Classics

西夏文、契丹与女真文珍稀典籍

选编说明

一

(一)

西夏文是古西夏国的官方文字，用来记录党项语。党项民族最初居住在青海、四川一带，后来屡经迁徙，最终在河西走廊的东段定居下来，并于1038年正式建立自己的国家，定都兴庆府（今宁夏银川）。党项人自称“番”或者“弥药”。他们称自己的国家为“大白高国”或者“白高大夏国”。中原人称之为“西夏”，是因为它位于自己的西方。

西夏文化带有明显的古丝绸之路特征，只是当时的丝路贸易已经趋于沉寂，导致当地表现出的丝路西段文化因素极少，而东段文化因素则相对较多。党项人曾经多年处于中原王朝的统治之下，所以在建国之后全面借用了唐宋两朝的政治制度和意识形态，从而逐渐淡化了原始的氏族部落制度。西夏境内有大量汉族人，以儒家经典和汉译佛经为代表的中原传统文化自然在西夏流传颇广，并被党项统治者所接纳和倡导。大约在12世纪中叶以后，一些吐蕃僧人相继进入西夏弘法，又在西夏文化中增加了藏传佛教成分，最终导致佛教在西夏朝野文化中占据了绝对的主导地位。

党项人在1036年创制了自己的文字，称为“番文”，与当初使用的汉文并行于国中。这种文字在元代称为“河西字”，现在通称“西夏文”，是一套汉字式的表意符号系统，总数在六千个左右，造字方法以会意和形声为主，有些字符从通行的汉字直接变化而来。1227年西夏王朝覆亡，但西夏文并没有随之遭废弃，不但继续在西夏故地流传应用，而且还被元朝的党项人用来编印整套《大藏经》，直至明代中叶才退出历史舞台。

(二)

今天所能见到的西夏文典籍都是20世纪以后在内蒙古、宁夏、甘肃等地出土的，绝大多数收藏在俄罗斯科学院东方文献研究所，此外在中国、英国、法国、日本、印度、瑞典、美国也有数量不等的收藏。

西夏的书籍制作技术主要从北宋传入，所用的纸张有些是中原制造的，有些是当地生产的。尽管成品质量高低不同，但大都不出传统上的绵纸和麻纸范围，只有一种以麦秸为原料制成的粗硬的厚纸，在中原相当少见。除了用普通工艺制成未经漂染的本色纸张外，西夏人已经知道在造纸时使用漂白剂制成白纸，以及使用黄檗或靛青制成黄纸和青纸。他们在特殊场合下还用金汁做墨在青纸上抄写佛经，这类佛经是当时罕见的珍品。

到了12世纪，雕版印刷技术已臻成熟，所以西夏典籍与敦煌文献相比有一个重大的特色，即出现了大量的雕版印刷品，西夏政府里也相应地出现了一个名为“刻字司”的主管部门。西夏的民间书坊和个别寺院都有能力刊印书籍，现有资料证明那里的刻工大都是汉族人，出自他们之手的版刻形制也全仿北宋的“大字本”，主要是因为西夏字笔画繁多，刻成小字难以保证质量。除去极少数的草书以外，西夏刻本的字体都是楷书，加上刻工刀法娴熟，所以看上去不像后来的仿宋体那样呆板。西夏刻本经常带有插图，插图分为两类，一类是刻在版面留白处的“补花”，图案简单，目的是在刷印时托住纸张；另一类是与佛经相配的“版画”，一般占两到四个经折页，表现佛说法的场景或者完整的佛教故事。版画雕刻精细，可以和经文同在一版，也可以单独印刷，贴在佛经抄本的卷首。

中原的活字印刷技术也传入了西夏，现存的西夏文书籍中有少量泥活字或木活字印本，分别出自西夏时期和元代，被视为这一技术的早期样品。

西夏抄本的代表作是寺院写经，出自寺院里专业的写经生之手，在卷尾一般写有施主的名字，有的还有简单的祈愿文字。多数写经生受过正规的书法训练，他们虽然写的是西夏字，但从字的结构和点画间可以明显看出颜真卿、柳公权、欧阳询等唐代书法家的笔法。另有一些抄本可能是寺院的典藏，这些抄本同样精细，甚至配有手绘的图案，以红黄等色彩点缀。相比之下，西夏民间抄本的质量要差一些，那些抄本多是供个人使用的，所以不太讲究书法和页面布局，装订也往往不那么正规。

西夏书籍的装订继承了唐宋两代的全部形式，其中既有被视为正统的卷子装、经折装、蝴蝶装和包背装，又有民间的册页装和缝绩装，还有从西藏地区学来的梵夹装。除了经折装和梵夹装用于佛经之外，其他装订形式与书的内容搭配并没有明显的限定。寺院佛经写本大都附有函套，函套用多层废纸裱褙而成，表面附有彩绢，颜色多样，上面贴有书签，用来区分多卷本佛经的卷次。

（三）

浩如烟海的西夏文典籍十之八九都是佛教文献，而且绝大多数都是汉藏译著的转译本。译自汉文的著作有的没有被收入当时的《大藏经》，例如惠忠《语录》、

本嵩《注华严法界观门通玄记》、佚名《洪州宗师教仪》等的汉文原本久已亡佚，其内容全靠西夏译本保存到了今天。译自藏文的著作虽然有“五部经”之类的名篇，但也有许多只是来自西夏境内藏族僧人的口传。这些作品以“大手印”文献为代表，其特点是重视实践胜过重视理论，且大都篇幅短小，传承有据，所以颇受当时的密宗修行者欢迎。

相比之下，西夏的非佛教文献数量虽少，但是受关注的程度却很高，因为其间体现的是中华文化的主流。如果站在清代所编《四库全书总目》的立场上看，这些著作大致涵盖了经史子集四部，其中经部实有“孝经”“四书”“小学”三类，史部实有“杂史”“史钞”“政书”三类，子部实有“儒家”“兵家”“医家”“天文算法”“术数”“类书”“道家”七类，集部实有“别集”“词曲”两类。西夏的非佛教文献大多也是译自汉文，真正的党项人作品为数不多，除了《文海》《同音》等几部西夏字典和《番汉合时掌中珠》等几种童蒙教材之外，著名的还有法典《天盛旧改新定律令》，类书《圣立义海》等。

迄今为止，世界各地收藏的西夏文献还没有全部发表，入选本汇编的典籍自然不能及其万一。我们希望能帮助读者管中窥豹，多少领略到西夏文化的辉煌。

在西夏文资料搜集整理过程中得到了国家图书馆全桂花等先生的热心帮助，在此一并表示谢意。

二

(一)

契丹和女真是长期活跃于我国历史舞台上的两个北方游牧民族，曾先后建立辽朝和金朝，统治我国北部边疆长达三百余年，对中外历史产生了重大而深远的影响。

契丹是东胡后裔鲜卑宇文部的别支。女真族源于肃慎，是满族的前身，五代时始称“女真”，辽代为避皇帝名而改称“女直”。现代学者们推测契丹、女真族最繁荣时期人口总数各有数百万。

契丹又称“奚丹”“乞塔”“赤丹”等；关于女真，历代有“挹娄”“勿吉”“黑水部”“靺鞨”等不同称谓。

契丹语和女真语均属于阿尔泰语系，前者近似蒙古语族语言，后者属于满-通古斯语族。

契丹、女真人建国不久，除使用汉字之外，在借鉴邻近民族文字的基础上分别创制了各自的文字。据汉文史料记载，契丹文字有两种，称作“大字”和“小

字”，在契丹小字中分别称之为“大礼（印）之字”和“副礼（印）之字”。大字于神册五年（920年）由辽太祖耶律阿保机在突吕不和鲁不古的协助下创制，小字创制时间略晚于大字，由耶律迭剌创制。史书记载女真文亦有大字和小字两种，大字于天辅三年（1119年）由完颜希尹、小字于天眷元年（1138年）由金熙宗完颜亶所颁行，然而传世女真字仅有一种，学界一般称作女真文。

契丹文字的创制，开启了东胡族系民族文字文明之先河，同时又启发了女真文的创制，在北方民族文字史上有承上启下的作用。现存女真字在我国各民族文字中可谓别具一格，它是在汉字和契丹字的基础上，采用加笔、减笔、变形等方式创制而成的。契丹字、女真字与汉字间的关系一般概括为，汉字是契丹字和女真字之“源”，女真字是契丹字和汉字之“流”。伴随契丹、女真民族政权的瓦解，契丹字和女真字的使用范围日趋萎缩，分别于元末和明晚期退出历史舞台，最终成为无人可识的死文字。但契丹、女真文文献极大地丰富了我国民族文化宝库，对阿尔泰语言史、辽金史以及汉语音韵研究的价值已为学术界所公认。

（二）

契丹文和女真文广泛应用于著书译文、刻记碑铭、书写外交书函等诸多领域，留下了为数可观的珍贵历史文献，是契丹、女真族的宝贵精神财富，也是我国多民族一体化进程中的重要记忆遗产。

契丹大字和女真文的书写格式为从上至下，移行为从右至左。契丹小字组合的书写格式独具特色，排列次序一般为先左后右，二二下推。若由三个、五个或七个原字组成，末一原字居于下边中间，表现形式类似于“训民正音”。

契丹、女真文典籍根据载体可分为金石资料和纸质文献，其内容涉及历史、语言、民俗、军事、工艺等。

1829年，金石学家刘师陆在河南开封发现女真文《进士题名碑》，时隔约一百年后，比利时神父凯尔温于1922年在辽庆陵（今内蒙古巴林右旗）发现契丹文《兴宗皇帝哀册》和《仁懿皇后哀册》。沉睡几百年的女真文和契丹文先后重见于世人，引起了国内外学术界的广泛关注和热议。刘师陆《女直字碑考》（1829年）和羽田亨《契丹文字的新资料》（1925年）分别为女真、契丹文研究发轫之作。迄今为止，契丹、女真文研究已有专著数十部，论文数千篇。代表著作有《女真语言文字研究》（文物出版社，1980年）和《契丹小字研究》（中国社会科学出版社，1985年）等。

（三）

我们从迄今发现的契丹、女真文文献中，精选出部分收录于本汇编中。其中，契丹大字有9件碑刻和1件纸质文献，契丹小字有17件碑刻文献，女真文有5件

碑刻和 2 件纸质文献。

选取文献时首先考虑的是内容的全面性。除了采用我国发现的资料，还收录了韩国、蒙古国、俄罗斯、德国等国所藏文献，基本能够反映契丹、女真文文献的面貌。其次，所选内容在书体风格上具有多样性。源于汉字的契丹文和女真文也有各自的书法字体，现已发现的有篆体、正楷、行草等，本汇编在文献的选取上力图反映各种书体。最后是编排顺序。考虑到个别资料的年代尚不明确，我们将三种文字文献基本以发表时间为线索进行了编排。

本次契丹和女真文典籍汇编是教育部哲学社会科学研究重大课题攻关项目“契丹、女真传世文献整理与研究”（14JZD036）的中期成果。在资料搜集过程中得到了清格尔泰、刘凤翥、齐木德道尔吉、洪金富、邵国田、唐彩兰、胡健、刘凌江、姚远利等先生的热心帮助和大力支持。在前期的图像采集和后期的整理过程中，呼格吉乐图、吉如何等同学也付出了艰辛劳动，在此，一并表示感谢。

Introduction

I

i

Tangut script, as the official script of the Western Xia regime, was used to record the Tangut language. The Tanguts resided initially in the provinces of Qinghai and Sichuan. After a few centuries of migration, they finally settled down in the east of the Gansu Corridor and established their own state with Xingqing City (now Yinchuan, Ningxia) as the capital in 1038. The Tanguts called themselves “*Fan*” or “*Mi-niah*”. They called their own state “Great State of White and Lofty” or “Great Xia State of White and Lofty”, but people of the Central China called it Western Xia because it was located to the west of them.

The Western Xia culture showed obvious characteristics of the ancient Silk Road, but trade through the Silk Road have dwindled by then. Therefore there were more elements from the east section of the road than those from the west. Under the rule of the Central China for centuries, the Tanguts entirely imitated the political system and ideology of the Tang and Song dynasties and thus their original tribalism faded out. As there were a large number of Chinese residents in Western Xia, the traditional Chinese culture represented by Confucian and Chinese Buddhist scriptures spread widely in the state and were adopted and advocated by the Tangut rulers. Approximately after the mid-12th century, missionary works by some Tibetan lamas in Western Xia introduced Tantric elements and led Buddhism to play an absolutely predominant role of the Western Xia official and folk culture.

Fanwen, which was Tangut script, the native script created by the Tanguts in 1036, was used in their state in parallel with Chinese. This sort of script, being called *Hexizi*, which meant characters used to the west of the Yellow River in the

Yuan Dynasty and Tangut script at present, was a system of about 6,000 ideographic glyphs similar to Chinese characters, showing mainly a formation of the ideogram and the signfic-phonetic compound, with some of the glyphs being variations from Chinese characters directly. Western Xia regime fell apart in 1227, while Tangut script was not abandoned immediately. It was continually used not only in the old haunt of Western Xia, but also used by the Tanguts in the Yuan Dynasty to compile and print a whole set of *Tripitaka*, and continued to be used until mid-Ming Dynasty.

ii

Tangut classics we see today were unearthed from Inner Mongolia, Ningxia and Gansu in the 20th century. Most of them are housed in the Institute of Oriental Studies of the Russian Academy of Sciences. Besides, there are a number of collections preserved in China, United Kingdom, France, Japan, India, Sweden and the United States.

The manufacturing technique of Western Xia books were mainly introduced from the Northern Song area. Some paper was made in the Central China, while others were local products. Although the products were different in their quality, most of them were the common tissue paper or hemp paper, except for a sort of rough and thick paper made of wheat straws rarely seen in the Central China. Besides the unbleached paper made with traditional technique, the Tanguts already learned how to make bleached white paper and to make yellow or blue paper with amur cork tree or indigo. On special occasions they transcribed Buddhist sutras on blue paper with golden ink, which were rare treasures at that time.

With the maturing of woodblock printing technique in the 12th century, Tangut classics showed a more magnificent feature than Dunhuang manuscripts. Numerous woodblock books came into being and a department in charge of printing was established by the Western Xia government. Private book stores and a few temples in Western Xia were also able to print books. It was proved by materials available that most of the engravers there were the Chinese *Han* people and their products were imitations of the Northern Song “big character” block books. Because the strokes of Tangut characters were very complicated, it was too difficult to guarantee the quality if workers engraved them in small characters. Except for a few works in cursive script, the Tangut woodblock books were

beautifully engraved in regular script, not as rigid as the so-called *Fangsongti* font in later times. Illustrations were usually found in the Tangut woodblock books, which may fall into two categories. One of them, with comparatively simple pattern, was the supplement in the space of the page in order to prop the paper in printing. The other was woodblock picture matching the sutra, ordinarily occupying two or four sutra pages to present a scene of the Buddha's Dharma preaching or a complete Buddhist story. Carefully carved pictures might either be put with texts on the same page or be printed separately and then pasted up as initial pages of Buddhist sutras.

Movable-type printing of the Central China was also introduced to Western Xia. In extant Tangut classics there are a few clay or wood movable-type printing books in Western Xia or Yuan times, which are regarded as the earliest sample of such technique.

Representative samples of Tangut manuscripts are Buddhist sutras transcribed in temples, on which the names of donors and their wishes may be attached to the end of the book. Being well trained in standard calligraphy, most copyists took writing styles of the famous Tang calligraphers, such as Yan Zhenqing, Liu Gongquan or Ouyang Xun while writing Tangut strokes and character structures. Other manuscripts might have been collections of monasteries which were also carefully transcribed, some even with hand-drawing pictures in red and yellow colors. By contrast, the quality of private manuscripts was poorer because they were for individual use only at that time, and people did not pay much attention to their calligraphy and layout, or the form of binding.

The Tangut bookbinding inherited all the forms in the Tang and Song dynasties, including the standard bindings like the scroll binding, the sutra binding, the butterfly binding and the wrapped-back binding, the unorthodox bindings like the single-leaf, the multi-leaves and the Chinese pothi binding introduced from Tibet. Besides the sutra binding and the Chinese pothi binding being dedicated to Buddhist works, other binding forms were not always associated with contents of books. Buddhist sutras in temples mostly had their folding cases which were mounted on multilayer waste paper and covered by various colored silk with title scrip on the front in order to distinguish the sequence of multivolume works.

Most of the vast amount of Tangut classics are Buddhist sutras and a vast majority of them are retranslations from Chinese or Tibetan editions. Some of the translated works from Chinese Buddhist editions were not included into *Tripitaka* at that time, for example, the Chinese originals of *The Quotations* of Huizhong, *The Commentaries of Huayan Fajie Guanmen* by Bensong and *The Teaching Rites by Master Hongzhou* were long lost, but their contents were preserved to the present only by the aid of their Tangut translations. In the translations from Tibetan there were some famous texts like “Five Sutras”, but many of them were merely oral transmissions by Tibetan lamas in Western Xia. The most representative ones were “Mahāmūtra” texts which laid much stress on the practice instead of the theory, which were welcomed by Tantric practitioners at that time for their limited length and reliable inheritance.

By contrast, Tangut non-Buddhist materials, though in small amount, enjoy much attention because they reflect the main trend of Chinese culture. From the perspective of the *Siku Quanshu Zongmu* compiled in the Qing Dynasty, these works approximately cover all the four parts of *Jing*, *Shi*, *Zi* and *Ji*, in which the part of *Jing* actually includes three classes of Classic of Filial Piety, Four Books and Philological Primers, the part of *Shi* includes three classes of Unofficial Histories, Historical Notes, Political Books, the part of *Zi* includes seven classes of Confucians, Militarists, Medical Scientists, Astronomy and Algorithm, Divination, Reference Books and Taoists, the part of *Ji* includes two classes of Anthologies and Lyricisms. Most Tangut non-Buddhist texts are translations from Chinese. Authentic Tangut native works are few in number, in which there are famous dictionaries like *The Sea of Characters* and *Homophones*, primers like *Bilingual Glossary of Tangut-Chinese*, codes like *The Code of Tangut* and reference books like *Sea of Meaning Established by the Saint*.

So far, not all Tangut materials preserved in various countries have been published, therefore the texts in this collection are only a drop in the ocean. We hope that the readers will appreciate the brilliance of Western Xia culture from this limited selection.

We'd like to thank Quan Guihua from the National Library of China and others for their enthusiastic help in collecting and collating the Tangut materials.

II

i

The Khitan and Jurchen were two northern nomadic peoples who had long been active on the stage of history of China. They established the Liao Dynasty and the Jin Dynasty, ruling the northern borderland of China for more than three hundred years, which had a significant and far-reaching impact on the world history.

The Khitan was one of the sub-branches of *Xianbei Yuwen* Tribe, the descendants of *Donghu*. The Jurchen originated from *Sushen* and was the ancestors of the Manchus. They were firstly named as Nurchen in the period of Five Dynasties, and renamed as *Nüzhi* in the Liao Dynasty as a name taboo to avoid the emperor's name. Modern scholars have speculated that the Khitan and Jurchen had a population of several millions respectively during their most prosperous periods.

The Khitan was also known as *Xidan*, *Qita*, *Chidan*, etc., while the Jurchen was called differently as *Yilou*, *Wuji*, *Heishuibu* and *Mohe* in the history.

Both the Khitan and Jurchen languages belong to the Altaic language family, of which the former is similar to the Mongolian language, and the latter belongs to the Manchu-Tungus group.

Shortly after the founding of the nations, besides using Chinese characters, the Khitan and Jurchen created their own scripts respectively on the basis of written systems of neighbouring ethnic groups. According to the Chinese historical records, there were two kinds of Khitan scripts, which were called "large script" and "small script". They were called "script for solemn ceremony" and "script for normal ceremony" in Khitan small script. Khitan large script was created in the fifth year of *Shence* (920) by Yelü Abaoji with the help of Yelü Tulübu and Yelü Lubugu. The creation of Khitan small script was a little bit later than Khitan large script by the Emperor's brother Yelü Diela. According to the historical records, there were also Jurchen large script and Jurchen small script, of which large script was created in the third year of *Tianfu* (1119) by Wanyan Xiyin, and small script

was enacted in the first year of *Tianjuan* (1138) by Wanyan Dan, Emperor Xizong of the Jin Dynasty. However, there is only one kind of extant Jurchen script, which is named as Jurchen script by scholars.

The creation of Khitan script marked the start of written systems of the *Donghu* people, and inspired the creation of Jurchen script, which served as a link in the history of national scripts of China's northern nationalities. The extant Jurchen script, which was created on the basis of Chinese character and Khitan script by adding or reducing strokes or changing the character form, has its unique style among all ethnic scripts in China. The relationship among Khitan script, Jurchen script and Chinese character are described as follows: Chinese character is the "origin" of Khitan and Jurchen scripts while Jurchen script is the "offspring" of Khitan script and Chinese character. With the collapse of the Khitan and Jurchen regimes, the use of their scripts were shrinking, and completed their historical missions at the end of the Yuan Dynasty and the late Ming Dynasty respectively. They became dead scripts that no one knew. However, Khitan and Jurchen classics greatly enriched our national culture. Their value in the research of history of the Altaic languages, history of Liao and Jin and Chinese phonology has been recognized by academia.

ii

Khitan script and Jurchen script were widely used in many fields, such as in writing books and translating articles, in carving memorial tablet, in writing diplomatic letters, etc. There are a considerable number of precious historical classics in Khitan script and Jurchen script, which are not only the valuable spiritual wealth of the Khitan and Jurchen people but also the important cultural heritage of China's multi-ethnic integration process.

Khitan large script and Jurchen script are written from top to bottom and from right to left. The writing order of Khitan small script blocks is unique. It is generally from left to right, downward by two graphs. If three, five or seven graphs are combined, the last graph will be placed in the middle of the bottom line, similar to Hangul.

Khitan and Jurchen classics are generally recorded in three forms of media: metal documents, stone documents and paper documents. They cover a wide range of history, language, ethnic customs, military affairs and art.

In 1829, Liu Shilu, a scholar in epigraphy, found *An Inscription of Recording the Names of Successful Candidates for the Degree of Jinshi* in Jurchen script in Kaifeng, Henan Province, while about 100 years later, in 1922, a Belgian missionary named L. Kervyn found *A Eulogy for Emperor Xingzong* and *A Eulogy for Empress Renyi* in Liao Qingling (located in today's Bairin Youqi of Inner Mongolia). From then on, Jurchen script and Khitan script that had been sleeping for hundreds of years were brought to the light again and caused wide attention and discussion in the research field. Liu Shilu's *The Study on Inscriptions in Jurchen Script* (1829) and Haneda Tōru's *New Materials for the Study of Khitan Script* (1925) were the first research articles respectively in Jurchen script and Khitan script. So far, there have been dozens of books and thousands of essays on the studies of Jurchen script and Khitan script. Their representative works include *Research on Jurchen Language and Script* (1980) published by Cultural Relics Press and *Research on Khitan Small Script* (1985) published by China Social Sciences Press and so on.

iii

We have selected a number of the Khitan and Jurchen materials found so far in this collection, including 9 inscriptions and 1 paper document in Khitan large script, 17 inscriptions in Khitan small script, and 5 inscriptions and 2 paper documents in Jurchen script.

The first thing to consider in choosing the classics is the comprehensiveness of the content. Besides materials found in China, some materials preserved in Korea, Mongolia, Russia and Germany are also included, which are basically capable of representing the classics in Khitan and Jurchen scripts. Secondly, the selected classics cover various writing styles in their own calligraphy of Khitan and Jurchen, including the seal character, the regular script and the cursive script which have been found so far. Therefore, this collection intends to reflect all these calligraphy in choosing materials. The last thing is the arrangement of the materials. Considering that the era of some materials are not clear, we will order the materials in three scripts by their publication time.

This collection of Khitan and Jurchen classics is the mid-term result of "Collation and Research on Handed-Down Literature of Khitan and Jurchen" (14JZD036), a major research project of philosophy and social sciences of the

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