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第四版 Fourth Edition

# 刑法

## CRIMINAL LAW

### 案例与资料 Cases and Materials

约翰·卡普兰 (John Kaplan)

[美] 罗伯特·韦斯伯格 (Robert Weisberg) / 著  
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# CRIMINAL LAW

## Cases and Materials

本书是美国哈佛、耶鲁等一流大学法学院广为推崇的刑法课程教学用书，作者均为美国有渊博理论知识和丰富实践经验的著名教授，在刑法界享有盛名。

本书内容详实，引用了大量典型案例诠释了刑法的基本原理，介绍分析了《示范刑法典》，并阐述了影响刑法的社会改革和道德准则。第四版增加了对毒品犯罪、死刑、枪支管理、阴谋与恐怖主义犯罪等社会关注问题的探讨及有关的最新判例。

本书将有效地提高读者理解犯罪构成和运用刑法分析犯罪者责任的能力，对法学院师生、理论研究人员、律师等法律从业人员都有较高的学习和参考价值。

另有配套的教师手册归纳教学重点，解答疑难问题。

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## 刑法：案例与资料

XINGFA ANLI YU ZILIAO

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# 总 序

吴志攀

加入世界贸易组织表明我国经济发展进入了一个新的发展时代——一个国际化商业时代。商业与法律的人才流动将全球化，评介人才标准将国际化，教育必须与世界发展同步。商业社会早已被马克思描绘成为一架复杂与精巧的机器，维持这架机器运行的是法律。法律不仅仅是关于道德与公理的原则，也不单单是说理论道的公平教义，还是具有可操作性的精细的具体专业技术。像医学专业一样，这些专业知识与经验是从无数的案例实践积累而成的。这些经验与知识体现在法学院的教材里。中信出版社出版的这套美国法学院教材为读者展现了这一点。

教育部早在2001年1月2日下发的《关于加强高等学校本科教学工作提高教学质量的若干意见》中指出：“为适应经济全球化和科技革命的挑战，本科教育要创造条件使用英语等外语进行公共课和专业课教学。对高新技术领域的生物技术、信息技术等专业，以及为适应我国加入WTO后需要的金融、法律等专业，更要先行一步，力争三年内，外语教学课程达到所开课程的5%–10%。暂不具备直接用外语讲授条件的学校、专业，可以对部分课程先实行外语教材、中文授课，分步到位。”

引进优质教育资源，快速传播新课程，学习和借鉴发达国家的成功教学经验，大胆改革现有的教科书模式成为当务之急。

按照我国法学教育发展的要求，中信出版社与外国出版公司合作，瞄准国际法律的高水平，从高端入手，大规模引进畅销外国法学院的外版法律教材，以使法学院学生尽快了解各国的法律制度，尤其是欧美等经济发达国家的法律体系及法律制度，熟悉国际公约与惯例，培养处理国际事务的能力。

此次中信出版社引进的是美国ASPEN出版公司出版的供美国法学院使用的主流法学教材及其配套教学参考书，作者均为富有经验的知名教授，其中不乏国际学术权威或著名诉讼专家，历经数十年课堂教学的锤炼，颇受法学院学生的欢迎，并得到律师实务界的认可。它们包括诉讼法、合同法、公司法、侵权法、宪法、财产法、证券法等诸多法律部门，以系列图书的形式全面介绍了美国法律的基本概况。

这次大规模引进的美国法律教材包括：

**伊曼纽尔法律精要 (Emanuel Law Outlines)** 美国哈佛、耶鲁等著名大学法学院广泛采用的主流课程教学用书，是快捷了解美国法律的最佳读本。作者均为美国名牌大学权威教授。其特点是：内容精炼，语言深入浅出，独具特色。在前言中作者以其丰富的教学经验制定了切实可行的学习步骤和方法。概要部分提纲挈领，浓缩精华。每章精心设计了简答题供自我检测。对与该法有关的众多考题综合分析，归纳考试要点和难点。

**案例与解析 (Examples and Explanations)** 由美国最权威、最富有经验的教授所著，这套丛书历

经不断的修改、增订，吸收了最新的资料，经受了美国成熟市场的考验，读者日众。这次推出的是最新版本，在前几版的基础上精益求精，补充了最新的联邦规则，案例也是选用当今人们所密切关注的问题，有很强的时代感。该丛书强调法律在具体案件中的运用，避免了我国教育只灌输法律的理念与规定，而忽视实际解决问题的能力培养。该丛书以简洁生动的语言阐述了美国的基本法律制度，可准确快捷地了解美国法律的精髓。精心选取的案例，详尽到位的解析，使读者读后对同一问题均有清晰的思路，透彻的理解，能举一反三，灵活运用。该丛书匠心独具之处在于文字与图表、图例穿插，有助于理解与记忆。

**案例教程系列 (Casebook Series)** 覆盖了美国法学校院的主流课程，是学习美国法律的代表性图书，美国著名的哈佛、耶鲁等大学的法学院普遍采用这套教材，在法学专家和学生中拥有极高的声誉。本丛书中所选的均为重要案例，其中很多案例有重要历史意义。书中摘录案例的重点部分，包括事实、法官的推理、作出判决的依据。不仅使读者快速掌握案例要点，而且省去繁琐的检索和查阅原案例的时间。书中还收录有成文法和相关资料，对国内不具备查阅美国原始资料条件的读者来说，本套书更是不可或缺的学习参考书。这套丛书充分体现了美国法学教育以案例教学为主的特点，以法院判例作为教学内容，采用苏格拉底式的问答方法，在课堂上学生充分参与讨论。这就要求学生不仅要了解专题法律知识，而且要理解法律判决书。本套丛书结合案例设计的大量思考题，对提高学生理解概念、提高分析和解决问题的能力，非常有益。本书及时补充出版最新的案例和法规汇编，保持四年修订一次的惯例，增补最新案例和最新学术研究成果，保证教材与时代发展同步。本丛书还有配套的教师手册，方便教师备课。

**案例举要 (Casenote Legal Briefs)** 美国最近三十年最畅销的法律教材的配套辅导读物。其中的每本书都是相关教材中的案例摘要和精辟讲解。该丛书内容简明扼要，条理清晰，结构科学，便于学生课前预习、课堂讨论、课后复习和准备考试。

除此之外，中信出版社还将推出教程系列、法律文书写作系列等美国法学教材的影印本。

美国法律以判例法为其主要的法律渊源，法律规范机动灵活，随着时代的变迁而对不合时宜的法律规则进行及时改进，以反映最新的时代特征；美国的法律教育同样贯穿了美国法律灵活的特性，采用大量的案例教学，启发学生的逻辑思维，提高其应用法律原则的能力。

从历史上看，我国的法律体系更多地受大陆法系的影响，法律渊源主要是成文法。在法学教育上，与国外法学教科书注重现实问题研究，注重培养学生分析和解决问题的能力相比，我国基本上采用理论教学为主，而用案例教学来解析法理则显得薄弱，在培养学生的创新精神和实践能力方面也做得不够。将美国的主流法学教材和权威的法律专业用书影印出版，就是试图让法律工作者通过原汁原味的外版书的学习，开阔眼界，取长补短，提升自己的专业水平，培养学生操作法律实际动手能力，特别是使我们的学生培养起对法律的精细化、具体化和操作化能力。

需要指出的是，影印出版美国的法学教材，并不是要不加取舍地全盘接收，我们只是希望呈现给读者一部完整的著作，让读者去评判。“取其精华去其糟粕”是我们民族对待外来文化的原则，我们相信读者的分辨能力。

是为序。

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## PREFACE

The aim of this fourth edition of Criminal Law is to introduce students to the basic purposes, concepts, doctrines, and analytic techniques of the substantive criminal law. The fundamental premise of the book is that the substantive criminal law is primarily a statutory rather than a “common law” subject. Training students in the skills of understanding and applying statutory standards of liability requires understanding the basic structure of liability, the fundamental concepts that are as often presupposed as defined in criminal codes, the crucial skills of element analysis, and the considerations of social policy and moral principle that inform the interpretation, application and evaluation of criminal statutes.

Like most criminal law texts, this book relies first on appellate decisions in actual cases to explicate the doctrines and policy dilemmas of the substantive criminal law. It begins with an introduction that prepares students to read these decisions by explaining how these cases arise, what kinds of substantive issues come up on appeal, what sources of law appellate courts bring to bear on these issues, and what methods of reasoning and argument the courts use to resolve them. While we have continued to include historically significant cases, we have also made a special effort in this edition to include very recent cases illustrating developments in this constantly changing field of law.

But, like previous editions, this book is not merely a collection of cases. Because criminal law is a statutory subject, this book exposes students to alternative statutory formulations of offenses and defenses, and familiarizes students with the influential Model Penal Code. We have continued to interweave cases with journalistic and sociological accounts of crime, historical accounts of the development of the criminal law, and philosophical arguments about criminal justice. We have also continued our commitment to place the substantive criminal law in a

realistic social context in which inequality based on race, gender and poverty plays an important role.

Above all, this book is designed not merely to stimulate interest in the fascinating and controversial subject of the criminal law, but to explain that subject clearly. We have continued to include throughout the book introductory and transitional material that provides straightforward explanations of the alternative rules applied in each doctrinal area. We have extended this expository approach into the notes following principal cases, which are now organized and labeled by legal issue so that students may find quick answers to their most pressing questions. We have also included more problems and exercises to help students master the analytic skills emphasized throughout the book.

Users of previous editions will find that this one continues to build upon the basic organizational and pedagogical approach established in the third edition.

The Introduction has added discussions of three crucial new Supreme Court cases on burden-of-proof, *Montana v. Egelhoff*, *U.S. v. Almendarez-Torres* and *U.S. v. Jones*.

Chapter 1, on the purposes and limits of punishment, continues to focus on the policy controversy over rising incarceration rates, but adds a new focus on the causes and implications of the recent drop in crime rates, including recent debates over the role of social norms in deterring crime. The section on the federal sentencing guidelines now includes the “Rodney King case,” *U.S. v. Koon*.

Chapter 2, “The Criminal Act,” continues its coverage of voluntary acts, omissions, status crimes, legality, prospectivity and specificity. It now includes the recent Supreme Court case on gang-loitering ordinances, *Chicago v. Morales*.

In Chapter 3, “The Guilty Mind,” we have streamlined the treatment of mistake, and added new historical material on the concepts of “general” and “specific” intent, as well as more exercises on element analysis. We now cover recent theoretical debates about the role of motive and character in culpability, and have added two important cases on the capacity to form mens rea: *People v. Hendershott* and *Montana v. Egelhoff*.

Chapter 4, on causation, now includes discussions of two recent controversial cases, the accidental poisoning of a baby by a New York hospital staff, and a Florida woman who demanded to be taken off life support after being shot and paralyzed by her elderly mother.

Chapter 5, “Intentional Homicide,” continues to explore the moral dilemmas posed by the problem of mitigating murder liability based on emotional distress in a society riven by cultural diversity and gender inequality.

Chapter 6, “Unintentional Homicide,” includes a newly comprehensive survey and explanation of the often poorly understood law of

felony murder. We have added the historically important case of *People v. Moran* on “merger.”

Chapter 7, on capital murder, continues to treat this as a substantive offense rather than an issue in constitutional law. We have added the important new federal death penalty case of *U.S. v. Jones*.

Chapter 8, on necessary force, lesser evils, and duress, includes new historical material on the emergence of America’s distinctive approach to the duty to retreat in self-defense law. A continued focus on the controversy over self-defense by battered women now includes the important new Florida case of *People v. Weiland*. The coverage of duress has been substantially reorganized to provide a sharper focus on gang scenarios, and now includes the recent cases of *State v. Crawford*, *Williams v. State* and *State v. Hunter*.

A substantially new Chapter 9, on insanity, has an enhanced focus on the newer cognitive tests, illustrated by the “deific decree” case of *People v. Serravo*. The chapter now covers the notorious case of the subway killer Andrew Goldstein and new research on psychopathy.

Chapter 10, “Attempt,” continues its focus on the *actus reus* of attempting, and is little changed.

Chapter 11, “Complicity,” includes a simplified explanation of the problem of *mens rea* standards for accomplice liability, and material on new statutory approaches to criminal facilitation, such as the federal gun laws.

Chapter 12, “Conspiracy,” includes new material on the Oklahoma City and World Trade Center bombing cases.

Chapter 13, on corporate criminal liability, includes a new emphasis on the consequences of corporate liability, with new material on the Federal Sentencing Guidelines. The coverage of corporate culpability has been updated with the important new case of *U.S. v. Ladish Malting Company*.

Chapter 14, “Theft Offenses,” includes a more systematic account of the development of distinct theft offenses, and the reasons for their subsequent consolidation in most jurisdictions. It also now includes a fascinating new mail fraud case involving a shady sports agent, and an important new case on the murky lines between bribery, extortion, and campaign fundraising.

Chapter 15, on rape and sexual assault, has been completely revised and considerably expanded to take account of the explosion of law reform efforts and scholarly research in this rapidly changing field of law. It includes new material on the historical development of rape law and new statistics on rape commission, reporting, and prosecution. The chapter has been reorganized and now provides a comparison and precise element analysis of the broad range of alternative definitions of sexual assault offenses. It also includes new material on rape by fraud and rape by extortion. Some of the many new cases include *Brown v. State*

(Wisconsin), *People v. Dorsey* (New York), *People v. Jansson* (Michigan), *State v. Smith* (Connecticut), *In re M.T.S.* (New Jersey), *State v. Moorman* (North Carolina), *Boro v. People* (California), *State v. Dutton* (Minnesota), *Commonwealth v. Mlinarich* (Pennsylvania), *Commonwealth v. Fischer* (Pennsylvania), *Davis v. State* (Georgia), and *U.S. v. Packineau*.

The point at which government takes a person's life or liberty and justifies it by denouncing that person's actions, purposes, and character is the law's most powerful manifestation. The criminal law therefore poses the most important challenge to our responsibility as citizens to understand, to evaluate, and to improve the law that is enforced in our name. We hope this new book helps our students meet that challenge.

*Robert Weisberg*  
*Guyora Binder*

March 2000

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