

普通高校经济及管理学科规划教材
天津市精品课

国际贸易实务(英文版)

Practice of International Trade

赵 宏 杨春梅 主编

中国铁道出版社
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内 容 简 介

本书是国际贸易实务实践类教材的英文版。本书涵盖国际市场调研、货物的名称和质量、货物数量计算、商品包装、国际贸易术语、国际货物托运、运输保险、国际结算、争议与索赔等一系列必要的进程。

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总 序

人类社会已经迈入 21 世纪。在此之际，追溯上个世纪的管理理论与实践是飞速发展的 100 年。国际上的研究，从经验管理到科学管理；从工业化时代的规模经营管理到基于信息基础的企业再造；从注重等级和控制的“金字塔”式组织模式到基于网络和知识的“柔性”组织模式。无论是在管理的理论、方法上，还是在管理的技术、实践上都发生了巨大变化。在我国实施改革开放政策以来，掀起了一浪高过一浪的管理热潮，管理学界相继发生了一系列重大的变革。1994 年教育部批准在 9 所重点高校试点举办工商管理（MBA）硕士研究生教育；1996 年国家自然科学基金委员会管理学科组升格为管理学部；1997 年在教育部学科专业目录调整过程中，管理学同经济学并列成为独立的一级学科；2002 年管理学界的专家首次当选为中国工程院院士。这些重大的变革标志着管理学科的重要地位得到了我国社会各界的认可。

随着我国市场经济体制的不断完善，以及中国正式加入世界贸易组织（WTO）以后，中国经济需要面对国际大市场，企业要参与国际化的激烈竞争。经济及管理教育如何迎接新世纪的挑战，适应变化的需要，已经成为学术界急需研究与探讨的焦点问题之一。著名管理学家彼得·德鲁克（Peter F. Drucker）曾经指出：“对我们的社会来说，管理是一种最显著的创新。”另一名著名管理学家亨利·明茨伯格（Henry Mintzberg）也曾指出：“彻底重塑传统管理教育的时代已经来临。”在这种社会呼唤“管理教育创新”的背景下，组织一套适应新世纪要求的经济及管理类学科专业规划教材是非常必要和及时的。

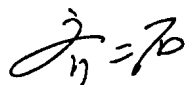
普通高校经济管理学院（系）协作会最初是由我国北方八省（辽宁、吉林、黑龙江、内蒙古、河北、河南、山东、山西）两市（北京、天津）的数十所高校经济管理学院系自发形成的教学协作组织。协作会成立 14 年来，以精诚合作、优势互补、共同发展的精神，坚持在管理理论的创新与实践、学科建设与发展、教材规划编写以及人才培养与交流等领域展开研讨活动，取得了丰硕成果。此次规划教材的组织编写，是协作会面向 21 世

纪管理教育创新的又一力作。

为了保证规划教材的质量和水平，我们成立了由国内外知名专家教授及部分管理学院院长、出版社的领导、专家组成的编审委员会。各门教材将由具有丰富教学与研究实践经验的教师参加编写。规划教材的编写力求博采众家之长，把握管理前沿，注重理论与实践相结合，使之成为具有科学性、规范性、创新性、实用性并举的精品教材及创新教研成果。在各位专家与老师的辛勤耕耘下，现已出版了电子商务专业、物流管理专业、公共事业管理专业、会计学专业、财务管理专业等系列教材。其余经管学科各专业系列教材亦将陆续组织出版。

由于经济及管理是一个不断变化和发展的重要学科，新的理论、技术和方法将会大量引用。鉴于我们的水平有限，规划教材在编写过程中难免存在疏漏与不足之处，敬请各位专家与读者批评指正。

天津大学管理学院院长、教授、博士生导师
教育部管理科学与工程专业教学指导委员会主任委员



2008年7月于津

FORWARD

前 言

国际贸易实务，是一门与实际工作密不可分的应用学科；随着科学技术的发展与进步，以及我国经济与世界经济接轨的加速，国际贸易各个环节的运作方式也在与时俱进地发生着改变；这样的应用学科，客观上需要大量专业知识丰富、应变能力较强的复合型外经贸专业人才。不仅要求他们具备良好的英语听、说、读、写、译及对外交流、沟通的能力，同时要求熟知外经贸专业知识及国际贸易惯例。这对高等院校的人才培养提供了新的挑战。

本书的编写特别注重了国际贸易专业知识、实际业务操作和专业英语运用三者之间的有机联系和密切配合。内容包括进出口交易的过程与交易的内容、适量的应用文、业务案例和单证，以及相应的课后练习与答案。本书不仅适用于高等院校对外经济与贸易专业的教学需要，同时，能对外贸工作人员、商务管理人员的工作给予一定的帮助和借鉴。

本书由赵宏、杨春梅主编，冯亚娟、马晓红、马涛参编。全书共分十二章：第一、十一章由赵宏编写；第八、九、十、十二章由杨春梅编写；第四章由冯亚娟编写；第六、七章由马晓红编写；第二、三、五章由马涛编写。文中重点单词或句子上都标有小标，对应每章后“Notes”中的序号，方便读者查阅。每章后配课后习题，答案参见文末“Appendix References to the Exercise”。

在本书的编写过程中参考了很多文献和资料，特向这些作者表示由衷的感谢。同时，由于编者水平有限，书中难免会有错误与遗漏之处，敬请读者批评指正。

编 者
2009.9

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Chapter 1

Introduction

1.1 Definition and Role of International Trade

International trade is the process of exchanging goods or services between two or more countries, involving the use of two or more currencies. Overall, it produces a more efficient employment of the productive forces of the world. Hence it embraces two basic elements. First, it is carried out between two or more nations. Thus when trade is executed beyond national frontiers, it is invariably subject to political, social, economic and environmental policies introduced by nations from time to time. To a large extent, such policies have either some what encouraged or hampered the free flow of merchandise in international trade. The second factor is the use of different currencies with their inherent exchange rate differentials; the terms of trade, or alternatively the balance of trade. This produces a favorable result in some countries but is unfavorable to others.

International trade increases competition and prevents the monopolistic control of the home market by local exporters. It also provides a stimulus to economic growth, developing technology and raising living standards. Overall, it provides wealth to the economy and extends opportunities to exchange ideas and develop the infrastructure of a country or region and its resources. Trade develops beneficial links between countries and encourages tourism and education. This brings both political and economic stability to a country or region.

There are more benefits for enterprises in the international trade, special for export business.

(1) There is the potential for greatly increased company turnover.

(2) The product or service offered is more competitive. It reflects international market needs and conforms to a wider legal environment. So the company becomes more competitive in all areas of the business: product specification, management skill, and value added benefit transmitted to the buyer in both price and non-price featuring as servicing warranty.

(3) Economies of scale are achieved through a larger order book and better utilization of company resource, especially in the areas of production, design, administration and procurement.

(4) Company becomes more integrated with the market they serve. One side it can spread the risk and opportunities, the other side it can encourage higher standards and the use of more high technology, which would not obtain when serving only the domestic market, an environment which may be shielded through high import tariffs imposed to protect local manufacturers.

1.2 Survey of International Trade

We will focus on the international agencies of the International Chamber of Commerce (ICC), the Organization for Economic Co-operation and Development (OECD), the World Trade Organization (WTO), a number of the regional trading areas of the world and a selection of countries which provide both short and long term favorable opportunities to the exporter. Regional arrangements include Customs Unions, free trade agreements and a range of other trade initiatives such as APEC.

1.2.1 International Chamber of Commerce (ICC)

The International Chamber of Commerce was founded in 1919 with an overriding aim that remains unchanged: to serve world business by promoting trade and investment, open markets for goods and services, and the free flow of capital.

Much of ICC's initial impetus came from its first president, Etienne Clémentel, a former French minister of commerce. Under his influence, the organization's international secretariat was established in Paris and he was instrumental in creating the ICC International Court of Arbitration in 1923.

ICC has evolved beyond recognition since those early post-war days when busi-

ness leaders from the allied nations met for the first time in Atlantic City. The original nucleus, representing the private sectors of Belgium, Britain, France, Italy and the United States, has expanded to become a world business organization with thousands of member companies and associations in around 130 countries. Members include many of the world's most influential companies and represent every major industrial and service sector.

1.2.1.1 What is ICC

ICC (International Chamber of Commerce) is the voice of world business championing the global economy as a force for economic growth, job creation and prosperity. Because national economies are now so closely interwoven, government decisions have far stronger international repercussions than in the past.

ICC: the world's only truly global business organization responds by being more assertive in expressing business views.

ICC activities cover a broad spectrum, from arbitration and dispute resolution to making the case for open trade and the market economy system, business self-regulation, fighting corruption or combating commercial crime.

ICC has direct access to national governments all over the world through its national committees. The organization's Paris-based international secretariat feeds business views into intergovernmental organizations on issues that directly affect business operations.

Setting rules and standards

Arbitration under the rules of the ICC International Court of Arbitration is on the increase. Since 1999, the Court has received new cases at a rate of more than 500 a year.

ICC's Uniform Customs and Practice for Documentary Credits (UCP 500) are the rules that banks apply to finance billions of dollars worth of world trade every year.

ICC INCOTERMS are standard international trade definitions used every day in countless thousands of contracts. ICC model contracts make life easier for small companies that cannot afford big legal departments.

ICC is a pioneer in business self-regulation of e-commerce. ICC codes on advertising and marketing are frequently reflected in national legislation and the codes of professional associations.

Promoting growth and prosperity

ICC supports government efforts to make a success of the Doha trade round. ICC

provides world business recommendations to the World Trade Organization.

ICC speaks for world business when governments take up such issues as intellectual property rights, transport policy, trade law or the environment.

Signed articles by ICC leaders in major newspapers and radio and TV interviews reinforce the ICC stance on trade, investment and other business topics. Every year, the ICC Presidency meets with the leader of the G8 host country to provide business input to the summit.

ICC is the main business partner of the United Nations and its agencies.

Spreading business expertise

At UN summits on sustainable development, financing for development and the information society, ICC spearheads the business contribution.

Together with the United Nations Conference on Trade and Development (UNCTAD), ICC helps some of the world's poorest countries to attract foreign direct investment. In partnership with UNCTAD, ICC has set up an Investment Advisory Council for the least-developed countries.

ICC mobilizes business support for the New Partnership for Africa's Development. At ICC World Congresses every two years, business executives tackle the most urgent international economic issues.

The World Chambers Congress, also biennial, provides a global forum for chambers of commerce. Regular ICC regional conferences focus on the concerns of business in Africa, Asia, the Arab World and Latin America.

Advocate for international business

ICC speaks for world business whenever governments make decisions that crucially affect corporate strategies and the bottom line. ICC's advocacy has never been more relevant to the interests of thousands of member companies and business associations in every part of the world. Equally vital is ICC's role in forging internationally agreed rules and standards that companies adopt voluntarily and can be incorporated in binding contracts. ICC provides business input to the United Nations, the World Trade Organization, and many other intergovernmental bodies, both international and regional.

Challenges of the 21st Century

After the disintegration of communism in eastern Europe and the former Soviet Union, ICC faced fresh challenges as the free market system won wider acceptance than ever before, and countries that had hitherto relied on state intervention switched to privatization and economic liberalization. As the world enters the 21st century,

ICC is building a stronger presence in Asia, Africa, Latin America, the Middle East, and the emerging economies of eastern and central Europe.

Today, 16 ICC commissions of experts from the private sector cover every specialized field of concern to international business. Subjects range from banking techniques to financial services and taxation, from competition law to intellectual property rights, telecommunications and information technology, from air and maritime transport to international investment regimes and trade policy.

Self-regulation is a common thread running through the work of the commissions. The conviction that business operates most effectively with a minimum of government intervention inspired ICC's voluntary codes. Marketing codes cover sponsoring, advertising practice, sales promotion, marketing and social research, direct sales practice, and marketing on the Internet. Launched in 1991, ICC's Business Charter for Sustainable Development provides 16 principles for good environmental conduct that have been endorsed by more than 2 300 companies and business associations.

1. 2. 1. 2 ICC worldwide

National committees-Asia Pacific

| | | |
|------------------|-------------|-------------|
| Australia | Indonesia | Pakistan |
| Bangladesh | Japan | Philippines |
| China | Korea | Singapore |
| Chinese Taipei | Malaysia | Sri Lanka |
| Hong Kong, China | Nepal | Thailand |
| India | New Zealand | |

ICC Asia

ICC opened a regional office for Asia in Hong Kong in January 1997, a move prompted by the growing importance of the region in the world economy. In 2003, the office was relocated to Singapore. ICC Asia's mission is to raise the world business organization's profile in Asia, promote ICC arbitration and dispute resolution services, and assist ICC national committees throughout the region.

National committees-Americas

| | | |
|-----------|--------------------|---------------|
| Argentina | Colombia | Guatemala |
| Bolivia | Costa Rica | Mexico |
| Brazil | Cuba | Panama |
| Canada | Dominican Republic | United States |
| Caribbean | Ecuador | Uruguay |
| Chile | El Salvador | Venezuela |

National committees-Europe

| | | |
|----------------|-------------|----------------|
| Austria | Hungary | Romania |
| Belgium | Iceland | Russia |
| Bulgaria | Ireland | Serbia |
| Croatia | Italy | Slovakia |
| Cyprus | Lithuania | Slovenia |
| Czech Republic | Luxembourg | Spain |
| Denmark | Monaco | Sweden |
| Finland | Netherlands | Switzerland |
| France | Norway | Turkey |
| Georgia | Poland | Ukraine |
| Germany | Portugal | United Kingdom |
| Greece | | |

National committees-Middle East

| | | |
|---------|---------|--------------|
| Bahrain | Kuwait | Saudi Arabia |
| Israel | Lebanon | Syria |
| Iran | Qatar | UAE |
| Jordan | | |

National committees-Africa

| | | |
|--------------|------------|--------------|
| Algeria | Madagascar | Senegal |
| Burkina Faso | Morocco | South Africa |
| Cameroon | Nigeria | Togo |
| Egypt | Tanzania | Tunisia |
| Ghana | | |

1. 2. 2 Organization for Economic Co-operation and Development (OECD)

The Organization for Economic Co-operation and Development (OECD) is based in Paris, France. It has 25 member countries plus 33 countries classified as partners in a transition programme—a forum permitting the governments of the industrialized democracies to study and formulate the best possible policies in all economic and social spheres.

Areas examined by the OECD in recent years include the creation of employment, economic growth and raising living standards through fiscal, monetary and structural economic policies, managing competition among nations in an era of globalization of production and of the continuing opening of borders to trade and investment; trade fa-

cilitation such as thorough certification of agricultural seeds; consolidating and advancing reform in agricultural policies; and improving the efficiency of government and quality of public sector spending and taxation.

The OECD has neither super national legal powers nor financial resources for loans or subsidies; its sole function is to direct co-operation among the governments of its member countries, the principal industrialized countries of the world. It focuses on specific issues through the expertise of the various OECD Directorates. Additionally, it encourages co-operation among nations in domestic policies where these interact with other countries in particular trade and investment. The reports produced by the OECD are useful to the exporter in the market evaluation and selection process.

1.2.3 World Trade Organization (WTO)

The World Trade Organization (WTO) is the only international organization dealing with the global rules of trade between nations. Its main function is to ensure that trade flows as smoothly, predictably and freely as possible. There are 153 members on 23 July, 2008 (see Table 1.1), accounting for over 97% of world trade. Around 30 others are negotiating membership. Decisions are made by the entire membership. This is typically by consensus. A majority vote is also possible but it has never been used in the WTO, and was extremely rare under the WTO's predecessor, GATT. The WTO's agreements have been ratified in all members' parliaments.

Table 1.1 WTO Dates of Membership

| | Country | Joint Date | | Country | Joint Date |
|----|---------------------|------------------|----|-------------------|-------------------|
| 1 | Albania | 8 September 2000 | 13 | Benin | 22 February 1996 |
| 2 | Angola | 23 November 1996 | 14 | Bolivia | 12 September 1995 |
| 3 | Antigua and Barbuda | 1 January 1995 | 15 | Botswana | 31 May 1995 |
| 4 | Argentina | 1 January 1995 | 16 | Brazil | 1 January 1995 |
| 5 | Armenia | 5 February 2003 | 17 | Brunei Darussalam | 1 January 1995 |
| 6 | Australia | 1 January 1995 | 18 | Bulgaria | 1 December 1996 |
| 7 | Austria | 1 January 1995 | 19 | Burkina Faso | 3 June 1995 |
| 8 | Bahrain, Kingdom of | 1 January 1995 | 20 | Burundi | 23 July 1995 |
| 9 | Bangladesh | 1 January 1995 | 21 | Cambodia | 13 October 2004 |
| 10 | Barbados | 1 January 1995 | 22 | Cameroon | 13 December 1995 |
| 11 | Belgium | 1 January 1995 | 23 | Canada | 1 January 1995 |
| 12 | Belize | 1 January 1995 | 24 | Cape Verde | 23 July 2008 |