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高等院校双语教材 · 国际贸易系列

INTERNATIONAL TRADE

(Sixth Edition)

国际贸易 (第六版)

丹尼·R·阿普尔亚德 (Dennis R. Appleyard)
小艾尔弗雷德·J·菲尔德 (Alfred J. Field, Jr.) 著
史蒂文·L·科布 (Steven L. Cobb)
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出 版 说 明

入世使中国真正融入到了经济全球化的浪潮中。中国政府“引进来，走出去”战略，使得中国经济的发展需要大量的“国际化”人才。这就对我国一般本科院校多年来所采取的单一语言（母语）教学提出严峻挑战，财经院校涉外经济类专业实行双语教学改革迫在眉睫。国家教育部2001年第4号文件明确规定：“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的教学，力争三年内，外语教学课程达到所开课程的5%~10%。”国际贸易专业的主要培养目标是培训能够从事国际商务实践操作以及从事关于国际商事研究的涉外实务人才和国际经济高级学者。国际贸易专业涉外性强，创新度高，客观上要求该专业的本科学生要有扎实、娴熟的英语功底，在此基础上透彻地，最好是原汁原味地吸取关于国际经济与贸易专业的前沿理论与实务知识，因此，国际贸易专业实行双语教学无论从理论上还是从实践上而言都具有重大的现实意义。为此，在国际贸易学科建设和教学改革时必须考虑在理论和方法上与国际接轨，只有这样，才能培养出标准统一的国际经济与贸易人才。这就有必要借鉴市场经济发达国家的国际贸易专业的课程体系和教学内容。在引进出版过程中，要把好质量关，要经学科领域的专家认真审核选题和内容，要把国外真正高水平的适合国内实际的优秀教材引进来。

适应这一需要，中国人民大学出版社携手国际著名的出版公司，推出适合国际贸易专业的双语系列教材。本系列教材具有以下特点：

第一，体系完整。本套教材精选了一批国外著名出版公司的优秀教材，涉及国际贸易、国际经济学、世界经济、国际商务、国际营销、国际商务谈判等课程，涵盖了国际贸易专业的核心课程。

第二，保持原貌。本套教材在广泛听取一线任课教师的意见基础上，删减了一些相互重复及不适合我国国情的内容，在体系和内容上保持了原教材的特色。

第三，紧扣前沿。本套教材在原著选择上紧扣国外教学前沿，基本上都选择国外最流行教材的最新版本，有利于老师和学生掌握国外教学研究的最新发展趋势。

第四，中文注解。我们邀请了国际贸易专业的一线优秀教师、学者对教材的重点内容、重要概念、主要原理添加了中文注解，并在每章前添加了中文导读，便于双语教学的开展。

本套教材适用于高等院校国际贸易专业的本科教学，同时也适用于国际贸易从业人员及对国际贸易感兴趣的人士。

本套教材在遴选、删减、编审、译校等方面得到中央财经大学国际经济与贸易系刘春生老师的大力协助，在此一并表示感谢。

本套教材是对国际贸易专业双语教学的积极探索，错误和疏漏之处在所难免，恳请广大读者指正。

审 译 者 前 言

本书从古典贸易理论、新贸易理论、贸易理论的扩展以及贸易政策四个部分系统地介绍了国际贸易理论。书中包含大量数据、图表和公式，尽可能地反映了本学科发展的前沿动态，吸收了国际贸易学领域的最新成果。

本书来源于美国英文原版教材，经编审后增加忠于原文的中文注解部分。相对于其他的国际贸易学教材，该书更具有前沿性和实用性。书中包含大量的专栏，介绍了近年来最新涌现的理论动态和现实案例分析，为读者提供了新颖全面的资料。此外，本书语言深入浅出，无论是对国际贸易学的初学者还是具有一定基础需要进一步提升的读者，这本书都是难得的好选择。

本书适合作为应用型本科或大专院校的经济或国际管理类国际经济与贸易、国际金融等专业的教材，也可作为国际贸易、国际金融等相关领域从业人员的参考用书。

ABOUT THE AUTHORS

Dennis R. Appleyard

Dennis R. Appleyard is James B. Duke Professor of International Studies and Professor of Economics at Davidson College, Davidson, North Carolina, and Professor of Economics, Emeritus, University of North Carolina at Chapel Hill. He attended Ohio Wesleyan University for his undergraduate work and the University of Michigan for his Master's and Ph.D. work. He joined the economics faculty at the University of North Carolina at Chapel Hill in 1966 and received the university-wide Tanner Award for "Excellence in Inspirational Teaching of Undergraduate Students" in 1983. He moved to his current position at Davidson College in 1990. At Davidson, he is Chair of the Department of Economics and was Director of the college's Semester-in-India Program in fall 1996 and Semester-in-India and Nepal Program in fall 2000. In 2004 he received Davidson's Thomas Jefferson Award for teaching and service.

Professor Appleyard has taught economic principles, intermediate microeconomics, intermediate macroeconomics, money and banking, international economics, and economic development. His research interests lie in international trade theory and policy and in the Indian economy. Published work, much of it done in conjunction with Professor Field, has appeared in the *American Economic Review*, *Economic Development and Cultural Change*, *History of Political Economy*, *Indian Economic Journal*, *International Economic Review*, *Journal of Economic Education*, and *Journal of International Economics*, among others. He has also done consulting work for the World Bank, the U.S. Department of the Treasury, and the Food and Agriculture Organization of the United Nations (in Islamabad, Pakistan). Professor Appleyard derives genuine pleasure from working with students, and he thinks that teaching keeps him young in spirit, since his students are always the same age! He is also firmly convinced that having the opportunity to teach international economics in this age of growing globalization is a rare privilege and an enviable challenge.

Alfred J. Field, Jr.

Alfred J. Field is a Professor of Economics at the University of North Carolina at Chapel Hill. He received his undergraduate and graduate training at Iowa State University and joined the faculty at Carolina in 1967. Field teaches courses in international economics and economic development at both the graduate and undergraduate level, has directed numerous Senior Honors theses and Masters theses, and has served as principal member or director of nearly 100 Ph.D. dissertations. In addition, he has served as Director of Graduate Studies, Associate Chair/Director of the Undergraduate Program in Economics, and Acting Department Chair. In 1966, he received the Department's Jae Yeong Song and Chunuk Park Award for Excellence in Graduate Teaching, and in 2006 he received the University of North Carolina–Chapel Hill John L. Sanders Award for Excellence in Undergraduate Teaching and Service. He is currently serving on the Advisory Board of several university organizations, including the Institute for Latin American Studies.

Professor Field researches in the areas of international trade and economic development. He has worked in Latin America and China, as well as with a number of international agencies in the United States and Europe, primarily on trade and development policy issues. His research interests lie in the areas of trade policy and adjustment and development policy, particularly as they relate to trade, agriculture, and household decision making in developing countries. Another of Field's ongoing lines of research addresses trade and structural adjustment issues in the United States, focusing on the textile and apparel industries and the experience of unemployed textile and apparel workers in North Carolina starting in the 1980s. He maintains an active interest in theoretical trade and economic integration issues, as well as the use of econometric and computable general equilibrium models, in analyzing the effects of trade policy, particularly in developing countries.

Steven L. Cobb

Steven L. Cobb is an Associate Professor in the Department of Economics at the University of North Texas. He currently serves as Director of the Center for Economic Education and is Chair of the Department of Economics. He attended Southwestern University for his undergraduate work in Economics and Political Science. Cobb was a student of Appleyard and Field and received his Ph.D. in Economics in 1987 from the University of North Carolina at Chapel Hill. He joined the faculty at the University of North Texas in 1986 and teaches principles of microeconomics and principles of macroeconomics at the undergraduate level and courses in international economics, comparative economic systems, economic development, and history of economic thought, at both the graduate and undergraduate level. Cobb is a three-time recipient of the Mortar Board Top Prof Award and the 2005 Recipient of the Southern Economic Association's Kenneth G. Elzinga Distinguished Teaching Award. His Center for Economic Education received the 2005 Albert Beekhuis Award for Centers of Excellence in Economic Education from the National Council on Economic Education, and Cobb was presented the 2006 Bessie B. Moore Service Award by the National Association of Economic Educators.

Professor Cobb researches in the areas of economic education, international trade, and economic development. His research interests lie in the areas of internationalization of university curriculum, the impact of attitudes on student performance in economics, cross-cultural training and technology transfer, and U.S.–Mexico trade and immigration. Cobb has also been involved as a consultant and trainer for the National Council on Economic Education's Training of Trainers program in the newly independent states of the former Soviet Union. The program is funded by the U.S. Department of Education and is designed to provide materials and training to allow economists in these nations to teach economics from a market perspective. Cobb has conducted training programs in Russia, Estonia, Latvia, Lithuania, Poland, Belarus, Ukraine, Romania, Bulgaria, Kazakhstan, Uzbekistan, Armenia, Mexico, and South Africa. He enjoys the international aspect of his work and tries to integrate this experience into his teaching.

PREFACE

It is our view that as the new millennium gets under way amid a dramatic increase in globalization, every student must have a conscious awareness of “things international.” Whether one is studying, for example, political science, sociology, chemistry, art, history, or economics, developments worldwide impinge upon the subject matter of the chosen discipline. Such developments may take the form of the discovery of a new compound in Germany, an unexpected election result in India, an archeological find in Cyprus, a new awareness of AIDS in Sierra Leone, or a startling new political/terrorist/military development in Afghanistan, Iraq, or Israel. And, because information now gets transmitted instantaneously across continents and oceans, scientists, governments, firms, and households all react quickly to new information by altering behavior in laboratories, clinics, legislative processes, production and marketing strategies, consumption and travel decisions, and research projects. Without keeping track of international developments, today’s student will be unable to understand the changing nature of the world and the material that he or she is studying.

In addition to perceiving the need for international awareness on the part of students in general, we think it is absolutely mandatory that students with an interest in economics recognize that international economic events and the international dimensions of the subject surround us every day. As we prepared to launch this sixth edition of *International Trade*, we could not help noting how much had changed since the initial writing for our first edition. The world has economically internationalized even faster than we anticipated nearly 20 years ago, and the awareness of the role of international issues in our lives has increased substantially. Almost daily, headlines focus on developments such as the European Union and the increased economic integration efforts that have fostered monetary union and the euro; policy issues related to reducing trade barriers and the effects of threatened retaliatory actions such as the United States has experienced with its recent steel tariffs; increased integration efforts such as the ongoing negotiations of the Free Trade Agreement for the Americas; and the tensions accompanying growth, structural change, and globalization that surfaced at meetings of international economic organizations such as the World Bank and the World Trade Organization. Beyond these broad issues, headlines also trumpet news of the U.S. trade deficit, rising (or falling) gasoline prices, the value of the Chinese renminbi yuan, and outsourcing to call centers in India.

The growing awareness of the importance of international issues is also in evidence in increased student interest in such issues, particularly those related to employment, international working conditions, and equity. It is thus increasingly important that individuals have a practical working knowledge of the economic fundamentals underlying international actions to find their way through the myriad arguments, emotions, and statistics that bombard them almost daily. Young, budding economists need to be equipped with the framework, the tools, and the basic institutional knowledge that will permit them to make sense of the increasingly interdependent economic environment. Further, there will be few

jobs that they will later pursue that will not have an international dimension, whether it be ordering components from a Brazilian firm, traveling to a trade show in Malaysia, making a loan for the transport of Caspian Sea oil, or working in an embassy in Quito or in a medical mission in Burundi.

Thus, the motive for writing this edition is much the same as in earlier editions: to provide a clear and comprehensive text that will help students move beyond simple recognition and interest in international issues and toward a level of understanding of current and future international developments that will be of use to them in analyzing the problem at hand and selecting a policy position. In other words, we seek to help these scholars acquire the necessary human capital for dealing with important questions, for satisfying their intellectual curiosity, and for providing a foundation for future on-the-job decisions.

We have been very flattered by the favorable response to the first five editions of our book. In this sixth edition, we continue to build upon the well-received features to develop a text that is even more attuned to our objectives. We have also, in a number of instances, attempted to clarify our presentation of some of the more difficult concepts and models in order to be more student-friendly.

IMPROVEMENTS

In this edition, as usual, we have attempted to provide current and timely information on the wide variety of international economic phenomena. Further, new boxes have been added to cover emerging issues in the global economy. The text has been updated to include recent developments in U.S. trade policy, major changes in the European Union, progress in the transition from command to market economies, and special issues related to developing nations. We should note that, in the monetary material, we continue to maintain our reliance on the *IS/LM/BP* framework for analyzing macroeconomic policy because we believe that the framework is effective in facilitating student understanding and because that material was favorably received by users of the earlier editions. We also continue to incorporate key aspects of the asset approach into the *IS/LM/BP* model.

Particular mention should be made of the fact that, in this edition, we have introduced Learning Objectives at the beginning of each chapter to orient the reader to the central issues. This text is comprehensive in its coverage of international concepts, and the Learning Objectives are designed to assist the instructor with the choice of chapters to cover in designing the course and to assist the students in focusing on the critical concepts as they begin to read each chapter. Because of the positive response to the addition of the opening vignettes in the fifth edition, we have retained and updated them in this edition to focus on the real-world applicability of the material.

Another improvement introduced throughout the text is a new organization of our pedagogical boxes. The “In the Real World” boxes are designed to provide examples of current international issues and developments drawn straight from the news that illustrate the concepts developed in the chapter. In situations where particularly critical concepts would benefit from further elaboration or graphical representation, we have utilized “Concept” boxes. Finally, there are a number of cases where prominent figures in international economics are profiled. This biographical information is presented in the “Titans of International Economics” boxes.

It is our hope that these changes in the sixth edition will prove beneficial to students as well as to instructors. The improvements are designed to help readers both understand and appreciate more fully the growing importance of the global economy in their lives.

DESCRIPTION OF TEXT

Our book follows the traditional division of international economics into the trade and monetary sides of the subject. Although the primary audience for the book will be students in upper-level economics courses, we think that the material can effectively reach a broad, diversified group of students—including those in political science, international studies, history, and business who may have fewer economics courses in their background. Having taught international economics ourselves in specific nonmajors' sections and Master's of Business Administration sections as well as in the traditional economics department setting, we are confident that the material is accessible to both noneconomics and economics students. This broad audience will be assisted in its learning through the fact that we have included separate, extensive review chapters of microeconomic (Chapter 5).

International Trade presents international trade theory and policy first. Introductory material and data are found in Chapter 1, and Chapters 2 through 4 present the Classical model of trade, including a treatment of pre-Classical Mercantilism. A unique feature is the *devotion of an entire chapter to extensions of the Classical model* to include more than two countries, more than two goods, money wages and prices, exchange rates, and transportation costs. The analysis is brought forward through the modern Dornbusch-Fischer-Samuelson model including a treatment of the impact of productivity improvements in one country on the trading partner. Chapter 5 provides an *extensive review of microeconomic tools* used in international trade and can be thought of as a "short course" in intermediate micro. Chapters 6 through 9 present the workhorse neoclassical and Heckscher-Ohlin trade theory, including an examination of the assumptions of the model. Chapter 6 focuses on the traditional production possibilities–indifference curve exposition. We are unabashed fans of the offer curve because of the nice general equilibrium properties of the device and because of its usefulness in analyzing trade policy and in interpreting economic events, and Chapter 7 extensively develops this concept. Chapter 8 explores Heckscher-Ohlin in a theoretical context, and Chapter 9 is *unique in its focus on testing the factor endowments approach*, including empirical work on the trade-income inequality debate in the context of Heckscher-Ohlin.

Continuing with theory, Chapters 10 through 12 treat extensions of the traditional material. Chapter 10 *discusses various post-Heckscher-Ohlin trade theories* that relax standard assumptions such as international factor immobility, homogeneous products, constant returns to scale, and perfect competition. An important focus here is upon imperfect competition and intra-industry trade. Chapter 11 explores the comparative statics of economic growth and the relative importance of trade, and it includes material on endogenous growth models and on the effects of growth on the offer curve. Chapter 12 examines causes and consequences of international factor movements, including both capital movements and labor flows.

Chapters 13 through 17 are devoted to trade policy. Chapter 13 is *exclusively devoted to presentation of the various instruments of trade policy*. Chapter 14 then explores the welfare effects of the instruments, including discussion of such effects in a "small-country" as well as a "large-country" setting. Chapter 15 examines various arguments for protection, including strategic trade policy approaches. Chapter 16 begins with a discussion of the political economy of trade policy, followed by a review of various trade policy actions involving the United States as well as issues currently confronting the WTO. Chapter 17 is a separate chapter on *economic integration*. We have updated the discussion of the transition economies, the European Union, and the North American Free Trade Agreement. The trade part of the book concludes with Chapter 18, which provides an overview of how international trade influences growth and change in the developing countries as well as a discussion of the external debt problem.

PEDAGOGICAL DEVICES

To assist the student in learning the material, we have included a variety of pedagogical devices. We like to think of course that the major device in this edition is again clear exposition. Although all authors stress clarity of exposition as a strong point, we continue to be pleased that many reviewers praised this feature. Beyond this general feature, more specific devices are described herein.

- Learning Objectives** Virtually every chapter begins with a set of explicit learning objectives to help students focus on key concepts. The learning objectives can also be useful to instructors in selecting material to cover in their respective classes.
- Opening Vignettes** These opening vignettes or cases were mentioned earlier. The intent of each case is to motivate the student toward pursuing the material in the forthcoming chapter as well as to enable the student to see how the chapter's topics fit with actual applied situations in the world economy.
- Boxes** There are three types of material that appear in boxes (more than 100 of them) in *International Trade*. Some are analytical in nature (Concept Boxes), and they explain further some difficult concepts or relationships. We have also included several biographical boxes (Titans of International Economics). These short sketches of well-known economists add a personal dimension to the work being studied, and they discuss not only the professional interests and concerns of the individuals but also some of their less well-known "human" characteristics. Finally, the majority of the boxes are case studies (In the Real World), appearing throughout chapters and supplemental to the opening vignettes. These boxes serve to illuminate concepts and analyses under discussion. As with the opening vignettes, they give students an opportunity to see the relevance of the material to current events. They also provide a break from the sometimes heavy dose of theory that permeates international economics texts.
- Concept Checks** These are short "stopping points" at various intervals within chapters (about two per chapter). The concept checks pose questions that are designed to see if basic points made in the text have been grasped by the student.
- End-of-Chapter Questions and Problems** These are standard fare in all texts. The questions and problems are broader and more comprehensive than the questions contained in the concept checks.
- Lists of Key Terms** The major terms in each chapter are boldfaced in the chapters themselves and then are brought together at the end of the chapter in list form. A review of each list can serve as a quick review of the chapter.
- References for Further Reading** These lists occur at the end of the book, organized by chapter. We have provided bibliographic sources that we have found useful in our own work as well as entries that are relatively accessible and offer further theoretical and empirical exploration opportunities for interested students.
- Instructor's Manual and Test Bank** This companion work offers instructors assistance in preparing for and teaching the course. We have included suggestions for presenting the material as well as answers to the end-of-chapter questions and problems. In addition, sample examination questions are provided, including some of the hundreds of multiple-choice questions and problems that we have used for examining our own students. Access this ancillary, as well as the online version of the test bank, through the text's Online Learning Center.

Online Learning Center

The sixth edition of *International Trade* is accompanied by a comprehensive Web site, www.mhhe.com/appleyard6e. The Instructor's Manual and Test Bank exist in Word format on the password protected portion. Additionally, the password protected site includes the link to EZ Test Online, answers to the Graphing Exercises, and a Digital Image Library containing all of the images from the text. Students also benefit from visiting the Online Learning Center. Chapter-specific graphing exercises and interactive quizzes serve as helpful study materials.

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