高等院校经济管理类专业双语系列教材

INTERNATIONAL TRADE THEORY AND PRACTICE

国际贸易理论与实务

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高等院校经济管理类专业双语系列教材

出版说明

为了提高我国高等教育的国际竞争能力，教育部早在2001年8月就印发了《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》的通知(教高[2001]4号)，文件强调，"按照'教育面向现代化、面向世界、面向未来'的要求，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……"该文件还大力提倡编写、引进和使用先进教材。教育部[2005]1号文件《关于进一步加强高等学校本科教学工作的若干意见》中又进一步明确提出，要提高双语教学课程的质量，继续扩大双语教学课程的数量。为响应教育部的要求，全国各大高校纷纷以各种形式开设双语课程，通过几年的探索和实践，各高校对双语教学的含义有了更明确的认识，也积累了一些教学经验。

教材是教学的基础，对于双语教学来说尤其如此。经济管理类专业招生人数最多、就业面最广，而且随着我国加入WTO及对外交往的日益增多，今后对能够熟练使用外语(尤其是英语)的经济管理类人才的需求会越来越大。因此，在经济管理类专业中实施双语教学，具有更加现实的意义。要搞好经济管理类专业的双语教学工作，必须要有相应的英文教材，而我们对十余所教育部所属院校的调研表明，经济管理类专业的原版英文教材与我国的教学大纲及教学体系差异较大，而且普遍存在厚、贵、难等问题，不太适合我国高校的教学状况。此外，我国大学生现阶段的英语水平参差不齐，大多数学生的英语水平还不足以很好地理解英文原版教材的体系和内容，故英文原版教材现在还不可能在我国一般的高等院校大面积地推广。

许多高等院校的经济管理类专业，在开展双语教学的试点工作中，除了采用少量英文原版教材之外，还编写了部分英文讲义，经过试用后有的已经出版。但迄今为止，各校出版的零星英文教材大多还没有形成系列，远远不能满足日益发展的双语教学的需要。为此，武汉理工大学出版社经过广泛、深入的调研，决定组织编写一套面向全国普通高等院校经济管理类专业双语教学的系列教材。首期五种教材于2005年秋季正式出版发行。

这套教材主要适用于高等院校经济管理类专业的本科生、研究生和MBA学生，其主要特点如下：

1. 通过名校名家，打造高质量的双语系列教材。为了切实保证教材的编写质量和水平，我们将系列教材的编写单位定位于教育部所属且经济管理类专业实力较强的院校，同时对编写人员的资历提出了一定要求，这套系列教材由上海交通

大学、山东大学、中南财经政法大学、武汉理工大学等院校双语教学经验丰富的教师编写，并特邀从事过本专业双语教学的专家、教授和外教审定书稿，力图通过名校名家，打造高质量的精品双语系列教材。

2.按照中国的教学大纲及教学要求编写。教材的体例和内容完全按照中国的教学大纲及教学要求设置，并以优秀的英文原版教材为参考。考虑到我国大学生现阶段的英语水平参差不齐，不少学生的英语阅读能力有限，教材中通过增加注释量对书中的重点和难点尤其是一些关键术语加以解释；或给出相应的参考译文，以帮助学生迅速理解和掌握教材中的知识点，不断提高英语阅读和理解能力。

由于组织编写经济管理类专业双语系列教材在国内还不多见，尽管我们做出了巨大努力，但在编写出版中难免还会存在这样或那样的问题，欢迎广大师生多提宝贵意见，也希望这套教材能得到大家的认可。

武汉理工大学出版社

2005年7月

前　言

随着我国加入 WTO,越来越多的国内企业参与到国际竞争中来,用国际通用的语言思考、工作、交流的能力也越来越受到重视。这样一种能力也成为我国各类人才参与竞争的一种有效工具。国家教育机构、各类院校以及一些主要的教材出版单位一直在思考,如何顺应这一发展潮流,推动各层次人员通过学习来获取这种能力。双语教学就是这种背景下的一种尝试。

双语教学在我国主要指汉语和国际通用的英语教学。事实上,双语教学在我国教育界已经不是一个陌生的词汇了,从其诞生的那天起就被包围在人们的赞成与反对声中,即便如此,双语教学的规模和影响都在原有的基础上不断扩大,且呈大发展之势。而由于我国长期缺乏讲第二语言(包括英语)的环境,开展双语教学面临特殊的困难,因此选用合适的教材就成为双语教学成功与否的一个重要问题。

尽管国内外对双语教学褒贬不一,对国际贸易学科而言,用英文进行阅读和交流是迅速获取专业信息、掌握当代国际贸易发展状况、进行国际交流和合作的前提。国际贸易双语教学具有集国际贸易理论及外贸实务和外贸专业英语于一体的特点,通过双语授课,促使学生提高使用英文进行专业阅读和交流的水平,使他们能够适应经济全球化的需求,有利于培养懂外贸业务、通各国惯例、谙国际语言的外贸专业人才。而目前国内外适合中国学生学习的国际贸易理论和实务的双语教材极为少见,为解决这一问题,我们组织了长期从事国际贸易、国际市场营销等相关专业课程双语教学的教师编写了这本《国际贸易理论与实务》双语教材。

本教材集合作者多年从事外贸实务、国际结算、保险等实践经验和高校国际贸易双语教学的经验,参照相关国外教材的体例,对国际贸易过程中的各个环节进行了详细阐述。教材用语浅显,内容易懂,结构合理,体系完整,内容分三大部分共十七章。第一部分为国际贸易理论部分,包括国际贸易导论、国际贸易基础理论、国际贸易壁垒、经济一体化、国际资本流动、世界贸易组织与贸易全球化,共六章内容;第二部分为国际贸易实务部分,包括国际贸易术语、主要贸易条件、国际货物运输、国际货物运输保险、国际货款支付以及检验、索赔、不可抗力和仲裁,共六章内容;第三部分为国际贸易操作程序部分,包括有利交易的启动、贸易谈判和合同订立、国际进出口合同的履行、国际贸易单据以及各类新型国际贸易方式,共五章内容;之后,附录了一些常见的国际贸易单据样本。除此之外,我们在各章开篇都提出了本章的教学目标,各章结束附有本章总结,以帮助学生理解重点难点,并配有生词及短语的中文注释,对较难理解的词句作了解释。各章结尾另配有习题和实用案例分析,有助于学生加深对知识的理解和拓展知识面。全书最后的参考文献为学生广泛阅读提供了材料。

本教材由南昌航空大学经济管理学院及国际教育学院的老师共同完成,参加本教材编写的人员有:宋颖(第一、二、三、四、五、六章)、余颖(第七、八、九、十、十一、十二章)、周丽霞(第十三、十四、十五、十六、十七章及附录、词汇表)。本书由周丽霞担当策划、主编和主审,余颖、宋颖担任副主编。

本教材参考了国内外许多学者有关国际贸易的论著和研究成果，已尽可能列于全书最后的参考文献中，如有疏漏，请作者包涵。由于编者水平有限，书中难免存在缺点，请使用者不吝赐教。

南昌航空大学

周丽霞

2009 年 10 月

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PART I

International Trade Theory

CHAPTER 1

INTRODUCTION TO INTERNATIONAL TRADE

Chapter Objectives

1. To learn the definition and features of international trade;
2. To understand the basic concepts in international trade.

1.1 Definition of International Trade

1.1.1 Trade

Trade is the activity of buying, selling, or exchanging goods or services between people, firms, or countries. Trade is also called commerce. A mechanism that allows trade is called a market. The original form of trade was barter, the direct exchange of one good or service for another. To get your restaurant meal, for instance, you would have to offer the restaurant something of immediate value. Modern trades generally negotiate through a medium of exchange, such as money. The existence of money makes trade easier, which allows trade to be roundabout. All sorts of commodities can be traded, ranging from a small quantity of a precious metal to a supertanker full of oil. Trade products fall into three main categories: primary products are natural resources obtained from mining, forestry, agriculture, and fishing, such as tin, wood, grain, and fish; secondary products are manufactured from primary products, and include cars, computers, ships, and clothes; tertiary products are services provided by banks, insurance companies, law firms, and other professional organizations.

1.1.2 International Trade

International trade is also known as world trade, foreign trade, overseas trade, etc. International trade is the exchange across national borders of goods, services, factors, and the impacts of this trade on domestic and global economies. In most countries, it represents part of Gross Domestic Product (GDP). While international trade has been present throughout much of history, its economic, social, and political importance has been on the rise in recent centuries. Industrialization, advanced transportation, globalization, multinational corporations, and outsourcing are all having a major impact on the international trade system. Increasing international trade is crucial to the continuance of globalization.

International trade is also a branch of economics, which, together with international finance, forms the larger branch of international economics. Increasing international trade is basic to globalization.

1.1.3 Features of International Trade

International trade is the trade in commodities and factors that takes place among nations. The basic motivations for all such exchanges, involving trade between nations, between regions, and individual consumers, are similar, including differences in tastes and factor endowments. However, there are some unique features of international trade. First, though it is reasonable to assume that labor is completely mobile within a country, labor mobility among countries is severely restricted because of government regulation and differences in such things as language, religion, and social customs. Indeed, it is usually assumed in trade theory that labor is completely immobile among countries. Much of the theory of international trade also assumes capital to be immobile among countries. Differences in the degree of factor mobility are important because they help govern the incentives for and the implications of trade in commodities.

A second distinguishing feature of international trade is the governmental regulatory power that does not exist in individual or interregional trade. Countries impose tariff and non-tariff barriers against imports. They limit the free flow of factors of production among countries and even adjust domestic policies so as to change the pattern of international trade. Such activities are virtually unknown among regions within the same country and in many countries are actually against the law.

1.2 History of International Trade

Trade between the peoples and countries of the world is as old as human history. Land and sea routes connected the first civilizations in Mesopotamia and around the Mediterranean; and the Phoenicians of the eastern Mediterranean traded metals, cedar wood, cloth, and animals across the sea as early as 3000 BC. One of the most important land routes was the Silk Road, connecting China in the east with the Roman Empire in the west. Silks, gemstones, perfumes, and other luxury goods were carried along this route from 300 BC onwards, providing a direct link between two of the major civilizations of the world. The European end of this route was controlled first by Constantinople (Istanbul) and then by the cities of northern Italy, particularly Venice, which grew rich on the proceeds of this trade.

In the 15th and 16th centuries, the Spanish development of sea-going vessels and advances in navigation by the Portuguese and Spanish led to a vast increase in world trade, as European merchants sought out new markets in Africa and Asia and brought back rare spices and other exotic goods. All of the major European nations set up trading posts around the world which grew into colonies and eventually, between the 16th and 19th centuries, developed into land-based empires many times the size of their parent countries.

During the 18th and 19th centuries, the Industrial Revolution transformed the British economy into the richest in the world. New factories manufacturing cotton and other goods sprung up throughout the country, requiring raw materials from overseas to keep them supplied. This led to a vast increase in world trade and established Britain as the world's largest trading nation. The development of railways and steam ships enabled goods to be transported around the world in a fraction of the time achieved by sailing ships. A century later, most of Europe and North America were industrialized, leading to the dominance of the world economy by a few key nations. Until the mid-20th century, trade was mainly in primary products, but today it is dominated by the import and export of secondary and tertiary products between industrialized nations.

The pattern of world trade has shifted in the 20th century as developed nations have set up their own manufacturing plants in developing countries, where labor and manufacturing costs are much cheaper. This situation can be both helpful and harmful to the developing country. For example, the new industry can create employment for the people living there, develop the infrastructure, and boost the economy. However, such a set-up can also be seen as exploitative because wages are often very low, the majority of profits go to the manufacturer, and the situation often prevents the host country from developing its own manufacturing base, thereby increasing its reliance on expensive imports. Today, tourism is an increasingly important service industry in developing nations whose economies would otherwise be solely dependent on one or two primary products. As these poorer countries become more profitable, they will have more money to invest in their own industries, and so the balance of trade will shift again, as it continues to reflect the fluctuating fortunes and needs of the nations of the world.

1.3 Basic Concepts of International Trade

1.3.1 International Trade Classification

There are various forms of international trade and they can be classified into various categories according to a number of different criteria.

1.3.1.1 Export Trade, Import Trade and Transit Trade

From the direction of the movement of commodity traded, international trade can be classified into export trade, import trade and transit trade.

Export trade means to transport the goods which are produced and processed in domestic market to international market for sale. On the other hand, import trade is made in the reverse direction; it refers to the transaction to transport the goods from foreign countries to domestic markets for sale or use.

If goods are transported from the producing country to the consuming country via a third country's border, this is known as transit trade. Transit trade can be further divided into direct transit trade and indirect transit trade. Direct transit trade means the goods are not placed in the bonded warehouse of the third country, but further transported toward outside along the domestic transportation line under supervision of the customs of the third country. In this sense, the third country earns its profit mainly by imposing import and export duties on the goods when they enter into or leave the boundary of the third country.

In contrast, indirect transit trade refers to the fact that goods are first placed in the bonded warehouse of the third country and then transported further to the importing country without any additional processing. Under this situation, the third country is able to earn the warehouse charges besides the above-mentioned customs duties. However, under neither case shall the third country obtain profits form goods processing or assembling.

1.3.1.2 Tangible Trade and Intangible Trade

From the form of the goods, international trade can be classified into tangible trade and intangible trade.

Tangible trade, also referred to as visible trade, is the exchange of physically tangible goods. There are many varieties of goods being traded internationally. According to SITC (Standard International Trade Classification), the international trade commodities could be classified into 10 categories as follows: food stuffs (0); beverages and tobacco (1); non-food items (not including fuels) (2); mineral fuel, lubricating oil and related raw material (3); animal and vegetable oils and fats and wax (4); chemical industrial products and related products (5); finished products classified by raw materials (6); machinery and transportation equipment (7); other products (8); items of unclassified commodities (9).

When we import/export the above goods, we have to carry out importing/exporting customs formalities and the goods should be checked by the customs. Therefore, such transactions are observable, i. e. visible. These tangible commodities have to be shipped from the exporting country to the importing country.

Intangible trade is the international exchange of intangible goods, such as service and intellectual property right. Such transactions can not be observed and recorded by the customs, which is the reason why they are also termed invisible trade. Intangible trade is far more complicated than tangible trade and very much different from it.

General Agreement on Trade in Services (GATS) defines the trade in services as: (1)

services supplied from the territory of one party to the territory of another (for example, TV shows); (2) services supplied in the territory of one party to the consumers of any other (for example, tourism); (3) services provided through the presence of service providing entities of one party in the territory of any other (for example, banking); (4) services provided by nationals of one party in the territory of any other (for example, construction projects or consultancies).

Agreement on Trade Related Aspects of Intellectual Property Rights (TRIPs) defines the scope of the intellectual property rights as follows: copyright, trademark/service mark, patent, trade secret and know-how, geographical indication, industrial design, layout design of integrated circuit, etc.

1.3.1.3 Direct Trade, Indirect Trade and Entrepot Trade

From the number of participants involved, international trade can be classified into direct trade, indirect trade and entrepot trade.

Direct trade means that goods are transported directly from the producing country to the consuming country. In this case, only two parties are involved in the transaction, namely the exporter and the importer.

Indirect trade, or trade through intermediate countries, on the other hand, occurs when goods pass through an intermediate country other than the producing or consuming country, remaining in that country for some length of time before shipment to the destination. Three parties are involved in indirect trade: the exporter, the importer and the intermediate party.

Entrepot trade refers to the transaction which involves importing goods from overseas for further processing or assembling and then re-exporting the goods abroad. Entrepot trade involves only one party, who is the importer, the processor, and at the same time also the exporter.

1.3.1.4 Barter Trade and Free-liquidation Trade

From the settlement instrument involved, international trade can be classified into barter trade and free-liquidation trade.

Barter trade means the direct exchange of goods or services—without an intervening medium of exchange or money—either according to established rates of exchange or by bargaining. It is considered the oldest form of trade.

Free-liquidation trade refers to the exchange of goods or services with an intervening medium of exchange or money according to rates of exchange. Cash trade is one form of free-liquidation trade.

In addition to the above-mentioned forms of international trade, there are also some other types of international trade that are classified under other norms or criteria.

1.3.2 Important Terms about International Trade

1.3.2.1 General Trade System and Special Trade System

There are two systems of recording merchandise exports and imports in common use.

They are referred to as general trade system and special trade system.

General trade system is a system under which statistic figures are collected based on the country territory. It covers all types of inward and outward movements of goods cross the country border.

Special trade system is a system under which statistic figures are collected based on the customs territory. It covers all types of inward and outward movements of goods through the customs territory.

The two systems differ because of the difference between the country territory and the customs territory. Normally, the two territories are the same. But sometimes, the former may be larger than the latter. Many countries set up bonded warehouses and free trade zones which are in the country territory but out of the customs territory. Thus the customs territory is not as large as the country territory. In other special cases, the country territory may be smaller than the customs territory. For instance, as to the members of EU, such as France, German, Italy and etc., they all have the uniform customs territory of EU which is much larger than their individual country territories.

1.3.2.2 Value of International Trade and Quantum of International Trade

Value of international trade refers to the sum of the exports based on FOB prices of all nations within a certain period, and sometimes it may be also called the value of world trade. It shall be distinguished from the term "value of foreign trade" which means the total amount of the import and export of a nation within a certain period.

Quantum of international trade is the value of international trade without the influence of the factor of price fluctuations. It is calculated on the basis of the value of international trade within the same period by a statistical method. For example: in 1997, the value of international trade is $5440 billion. Take 1990 as the basic period, the price index in 1997 is 200%. Then the quantum of international trade is $5440 billion /200% = $2720 billion.

In the same way, the quantum of foreign trade is to be calculated on the basis of the value of foreign trade of the certain nation.

1.3.2.3 The Commodity Composition of International Trade

The commodity composition of international trade is the constitution of all kinds of goods in world trade. As for an individual nation, the constitution of all kinds of goods in its foreign trade is termed "the commodity composition of foreign trade". Here, generally speaking, the trade goods shall be classified according to SITC.

1.3.2.4 The Geographical Composition of International Trade

The geographical composition of international trade indicates that which is the biggest trader in the world and which is the second and so on. As far as an individual nation is concerned, the term "geographical composition of foreign trade" shows that which country is its most important trade partner.

1.3.2.5 The Degree of Dependence on Foreign Trade

The degree of dependence on foreign trade indicates the role of foreign trade in a