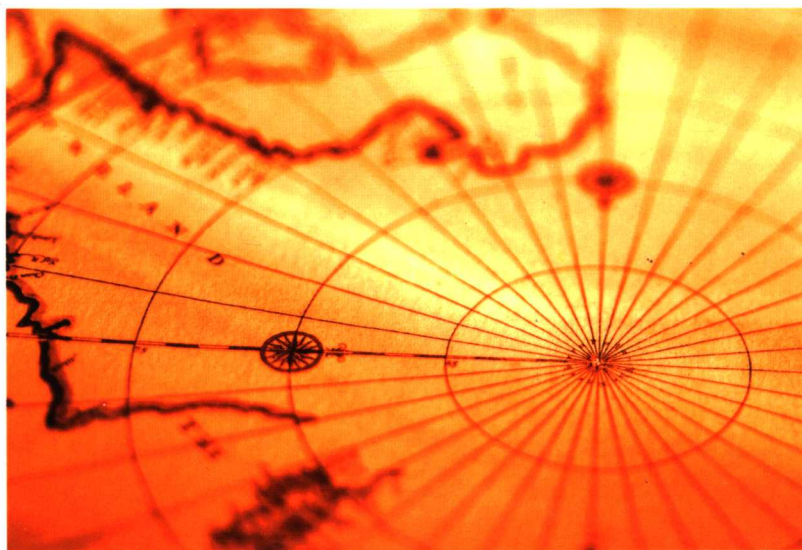


Microeconomic Theory

Basic Principles and Extensions



〔美〕 Walter Nicholson 著

微观经济理论

基本原理与扩展（第9版）



北京大学出版社
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Microeconomic Theory

Basic Principles and Extensions

〔美〕Walter Nicholson 著

本书是微观经济学领域内非常经典的一本教科书，它通过对大量的经济学问题进行严密的数学分析，直观地阐明了微观经济学的基本原理，旨在向学生提供一个有关现代微观经济理论的、全面且易于理解的概述。全书分为：导论，选择与需求，生产与供给，完全竞争市场，不完全竞争模型，要素市场中的定价，不确定性、信息及外部因素七个部分。本书适合于经济类高年级本科生、研究生和MBA学生使用。

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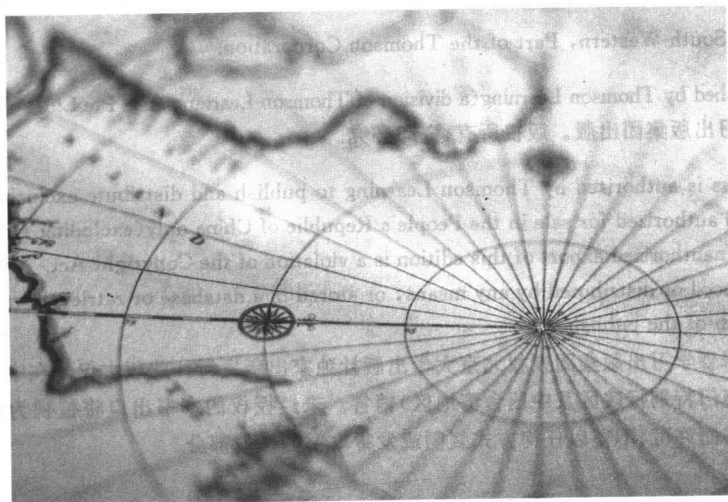
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[美] Walter Nicholson 著

微观经济理论

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经过一段时间的精心酝酿和准备,由北京大学出版社出版的国外引进版的经济学精选教材系列终于与读者见面了。

目前入选该系列的教材共有四本:一本是经济学导论,William Baumol 和 Alan Blinder 的“*Economics: Principles and Policy*”(第 9 版);一本是微观经济学教材,Walter Nicholson 的“*Microeconomic Theory: Basic Principles and Extensions*”(第 9 版),另加两本宏观经济学教材,Roger Farmer 的“*Macroeconomics*”(第 2 版)和 Richard Froyen 的“*Macroeconomics: Theories and Policies*”。除第一本为经济学初学者入门教材外,后三本均属于中级水平的教材,面向的读者对象为大学经济学专业的本科生和 MBA 学生。

Baumol 和 Blinder 合写经济学可谓珠联璧合。Baumol 是当代最著名的微观经济理论大师之一,在他半个世纪的研究生涯中不断有新理论面世,是名副其实的“常青树”;Blinder 则是著名的宏观经济学家,擅长财政和货币政策研究,长期参与美国宏观经济学政策的辩论,曾做过克林顿的总统经济顾问。由这两位大家合写一本同时强调理论与政策含义的经济学导论自然是再合适不过了。我一直认为,经济学最直观和最精深的智慧都在经济学导论中,千万别小瞧了它,应该反复研读。在阅读此书时,读者要特别注意那些紧密结合现实世界问题的经济学分析,从这些分析中你才能真正体会到经济学是一种让人学会思考的有力工具。

Nicholson 的中级微观堪称这方面的经典教材:它初版于 1972 年,每隔几年修订一次,到现在已是第 9 版。如此长盛不衰的教材并不多见。我在美国斯坦福大学读书时做过本科生微观课的助教,教授选定的教学参考书中就有这本书,当时是第 7 版。此书最大的特点是它的严谨性,注重每一个理论的模型背景与数学推导。它没有其他同类教材那么多生动活泼的例子,而是一板一眼用图例和数学公式说明经济学的道理。每章后都附有一些相关学术论文,作者对每篇文献还作了一些简要的评论,似乎希望有兴趣者会找到原始文献加以研读,所以此书的难度应该在中级教材之上。美国学生可能不太喜欢这种板着脸说事的风格,但我觉得中国学生会非常适应。我建议最好将此书与别的“图文并茂”的微观教材结合起来阅读,收获会更大一些。

两本宏观教材虽非出自名家之手,但仍然不失为优秀的教科书,有许多可圈可点之处。Farmer 的宏观经济学包含了一本标准的中级宏观经济学教材所应涉及的内容,如古典总供给与总需求理论、IS-LM 曲线和新凯恩斯总供给理论,另外还专门介绍了理性预期理论和近年来兴盛起来的内生增长理论。全书叙述简明、清晰,可读性强。作者充分利用当今的网络技术,为读者提供了许多网站链接,以进一步了解某些重要知识。相比之下,Froyen 更注重宏观经济学的发展与演化,为那些感兴趣于思想史的读者提供了一条清晰的理论发展脉络。近年来的宏观经济学发展非常强调与微观经济学相统一的方法论基础,但不同思想学派的特征在如今的宏观理论中仍然表现得十分明显。而要深入了解这些学派的发展和主要特征,Froyen 的书很值得一读。这两本书因各有侧重,最好将它们结合起来学习。

大家也许注意到,这些国外教材在国内已出过不少种类,比如经济学导论教材,就先后出版

过著名经济学家萨缪尔森、斯蒂格利茨和曼昆的三本经济学原理,其他微观和宏观的国外教材也是品种繁多。那为什么我们还需要继续去影印或翻译同类经济学教材呢?我想,经济学教材可以看做是一种差异化产品,它们之间有替代性,但替代性不是完全的,就像不同品牌的汽车和笔记本电脑一样,可以满足不同偏好的消费者的需求。最关键的一点是,读者可以通过研读和比较不同“品牌”的教材获得关于经济学更全面、更丰富的理解和知识。我觉得经济学的精妙之处很难从一本书里获得,对初学者尤其如此。

作为在 20 世纪 80 年代求学的我非常羡慕现在的大学生,他们的选择可以如此之多,而我们那时,西方经济学教材寥寥无几,记忆中国外的就只有高鸿业先生翻译的萨缪尔森的《经济学》三册本,虽然是精品,值得反复揣摩,我也从被迫的精读中获益巨大,但总是期待有同类的教科书可一并参读。

经济学精选教材系列是一个开放的系列,这次初选四本,以后将根据教材的供需状况陆续增加。我相信,这套经济学系列教材将为经济学爱好者提供丰盛的知识大餐。

周黎安

2005 年 6 月于北京大学

关于本书

适用对象

本书适用于经济学专业高年级本科生和低年级研究生。

内容简介

《微观经济理论：基本原理与扩展》(第9版)是一本久经检验、广为人知、深受读者喜爱，并在市场上具有领先地位的教科书。因其最为清楚、准确地阐述了中级微观经济学的相关概念而受到广泛赞誉，它还为高年级本科生和低年级研究生介绍了严密、理想的数学分析方法，使学生能够有机会直接运用理论工具，进行实际应用，并接触微观经济学最前沿的研究成果。本书严谨、全面，对学生具有明显的挑战性，尤其适用于具有数学背景的学生。

作者简介

沃尔特·尼科尔森(Walter Nicholson)是阿姆斯特学院(Amkerst College)经济学教授，他在威廉姆斯学院(Williams College)获得数学学士学位，在麻省理工学院获得经济学博士学位。其主要研究兴趣为劳动力市场问题的计量分析，涉及福利、失业和国际贸易的影响等方面。

主要特色

本书在开始就介绍效率的概念及其与完全竞争市场的关系，这有助于后文中对不完全竞争市场的论述。

- 贯穿全书的现代信息理论综合了博弈论的所有内容。
- 微积分的广泛应用和对技术细节的关注使这本书有别于市场上的其他书籍。作者引用了很多数学和图示的实际应用例题，并将微积分作为分析工具，强调了数学的精确性、逻辑性和直观性。
- 众多数学例题贯穿全书，使学生们对理论有一个清晰的理解。
- 章末的大量问题分为运用章节概念的基本问题，以及理论联系实际的习题。这种结构使学生在严谨的理论分析前，先了解简单的数学问题。

本版特色

- 更加系统而简洁 全书共21章，本版内容重新组织的突出之处包括：原来第7章市场需求的内容移到了本版的第10章(非均衡竞争模型)。第三部分(不确定条件下的选择)——原书第8章、第9章(期望效用与风险转移，信息经济)，调整到本版第18章、19章，原书第10章(博弈论)和第20章(定价的博弈论模型)构成了本版的第15章，本版第12章(一般均衡与福利)是原书第16、17章关于完全竞争均衡和效率内容的组合。原书关于劳动力市场的第21、22章(要素需求与劳动力供应)合成为本版的第16章，主

要是劳动力供应的论题。

- 第2章,优化数学,包括更多关于凹函数/拟凹函数、二元性和库恩-塔克条件函数。
- 本版第5章收入和替代效应,包括了弹性。消费者剩余中增加了补偿变差(CV)和等价变差(EV)的概念。
- 第9章,利润最大化,从利润函数中得出供应函数,涉及了更多(无条件)投入需求的内容。
- 第19章,信息经济学,涉及从博弈论角度看道德风险、反向选择和本金/代理等新内容。
- 章末部分有新增或经过修改的习题。
- 每章都提供了互联网的应用。

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主要内容

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1. 经济模型
2. 最优化的数学

第二部分 选择与需求

3. 偏好与效用
4. 效用最大化与选择
5. 收入效应和替代效应
6. 商品间的需求关系

第三部分 生产与供给

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- “微观经济理论:基本原理与扩展”学习指南(0-324-27462-9)

About the Author

Walter Nicholson is the Ward H. Patton Professor of Economics at Amherst College. He received his B.A. in mathematics from Williams College and his Ph.D. in economics from MIT. Professor Nicholson's principal research interests are in the econometric analyses of labor market problems including unemployment, job training, and the impact of international trade. He is also the author of *Intermediate Microeconomics and Its Application, Ninth Edition* (South-Western/Thomson Learning, 2004).

Professor Nicholson and his wife, Susan, live in Amherst, Massachusetts, and Naples, Florida. What was previously a very busy household, with four children everywhere, is now rather empty, with only one rather aged Labrador Retriever still underfoot. But an ever-increasing number of grandchildren breathe some life into these places whenever they visit, which seems far too seldom.

Preface

The ninth edition of *Microeconomic Theory: Basic Principles and Extensions* provides students with a comprehensive and accessible summary of modern microeconomics. This is accomplished by including clear and intuitive explanations of all of the major theoretical results and by stressing the mathematical structure that is common to many microeconomic problems. Links to more advanced literature and to empirical applications are provided through a number of “extensions” that gather together many results that are often assumed in the professional literature. Ideally, the inclusion of this material should make that literature more approachable.

New to the Ninth Edition

The most important changes in this edition occur in its first nine chapters. In these I have tried to improve and expand the basic material on utility maximization and on the theory of the firm. One important change from prior editions is the adoption of a more streamlined and consistent notation for these parts of the book. Although apparently there is no “standard” notation in microeconomics, I believe that the new notation adopted here conforms well to current practice. Other major changes in the core theory sections of the text include:

- A thorough revision of demand theory with special attention to expenditure functions and the envelope relationships that can be derived from them;
- A more comprehensive coverage of cost functions, focusing on how substitutability among inputs is reflected in such functions;
- An expanded coverage of the profit function concept with a detailed examination of how that function generates input demand functions; and
- A number of new mathematical examples that focus on widely used functional forms.

Changes in the final 12 chapters were significant in the eighth edition, but a number of important improvements have been made to this edition as well, such as:

- Introduction of a number of simple two-good models of general equilibrium;
- New material on the economics of information—especially an extended presentation of principal-agent issues and of more general aspects of incentive-compatible mechanism design;
- Many new shorter sections on such subjects as durable goods, risk aversion, and labor market equilibrium;

- Many new problems and mathematical examples to accompany the new theoretical material being introduced.

The thoroughly revised ancillaries for this edition include:

- The comprehensive student *Study Guide and Workbook*, by David C. Stapleton of Cornell University. Included are Key Concepts and numerous Problems for each chapter, with answers at the end of the *Study Guide*.
- The *Solutions Manual and Test Bank*, by the text author. The *Solutions Manual* contains Comments and Solutions to all problems, available to all adopting instructors in print and electronic versions. The *Solutions Manual and Test Bank* is available for download only by qualified instructors at the textbook support Web site (<http://nicholson.swlearning.com>).
- New! PowerPoint Lecture Presentation Slides, by Linda Ghent of Eastern Illinois University. PowerPoint slides for each chapter of the text provide a thorough set of outlines for classroom use, or for students as a study aid. Available to instructors and students via download at the book's Web site.

Online Resources

Thomson Business and Professional Publishing/Thomson Learning provides students and instructors with a set of valuable online resources that make an effective complement to this text. Each new copy of the book comes with two registration cards. One is for Economics Applications, and the other is for InfoTrac College Edition.

Economic Applications

The purchase of this new textbook includes complimentary access to South-Western's Economic Applications (EconApps) Web site (<http://econapps.swlearning.com>).

The EconApps Web site includes a suite of regularly updated Web features for economics students and instructors: EconDebate Online, EconNews Online, EconData Online, and EconLinks Online. These resources can help students to deepen their understanding of economic concepts by analyzing current news stories, policy debates, and economic data. These resources can also help instructors to develop assignments, case studies, and examples based on real-world issues.

EconDebate Online provides current coverage of economics policy debates, including a primer on the issues, links to background information, and commentaries.

EconNews Online summarizes recent economics news stories and offers questions for further discussion.

EconData Online presents current and historical economic data with accompanying commentary, analysis, and exercises.

EconLinks Online offers a navigation partner for exploring economics on the Web, with a list of key topic links.

The South-Western/Thomson Learning Economics Web site (<http://economics.swlearning.com>) also includes free access to *Newsedge*, which culls and organizes the most recent news and economic information.

Students buying a used book can purchase access to the EconApps site at <http://econapps.swlearning.com>

InfoTrac College Edition

The purchase of this new textbook also comes with four months of access to InfoTrac. This powerful, searchable online database provides access to full text articles from more than 1,000 different publications, from popular press to scholarly journals. Each chapter includes suggested InfoTrac Keywords for study with the chapters. In addition, instructors can search topics and select readings for students and students can search articles and readings for homework assignments and projects.

The publications cover a variety of topics, with articles that range from current events to theoretical developments. InfoTrac College Edition offers instructors and students the ability to integrate scholarship and applications of economics into the learning process.

Acknowledgments

In preparation for undertaking this revision, I received very helpful reviews from:

Ronald S. Warren, Jr., University of Georgia

Nick Feltoich, University of Houston

Steven Marc Goldman, University of California, Berkeley

Gerald M. Lage, Oklahoma State University

Ying Chi Chan, Johns Hopkins University

Carrie Meyer, George Mason University

Stephen Morris, Yale University

James J. Murphy, University of Massachusetts, Amherst

Norman K. Thurston, Brigham Young University

It was these reviewers who suggested that I consider modifying some of the notation in the early chapters in the book and spend more space on the expenditure and profit function concepts. I have tried to follow this good advice, but, of course, none of these individuals bears any responsibility for the final outcome.

This is the first edition of this book that has been completely produced by South-Western/Thompson Learning and I have been very pleased with the working relationship we have developed. I am especially indebted to Susan Smart for keeping the book on schedule and for addressing my concerns about how the notational changes might be accommodated. Copyediting of this manuscript was, I know, a real chore. But copyeditor Michelle Livingston, along with Shepherd Inc., did a great job of penetrating my messy manuscript to obtain something that actually makes sense. The design of the text by Justin Klefeker succeeded in achieving two seemingly irreconcilable goals—making the text easy to read and compact. The end result looks great, I think. Cliff Kallemeyn did a fine job in keeping the production of this edition on track. I especially appreciated his handling of some errors of forgetfulness I made in several spots. I also thank David Stapleton, at Cornell, for his continued work on the *Study Guide*, and Brett Katzman, at Kennesaw State, for creating the Online Quizzes.

As always, my Amherst College colleagues and students bear some responsibility for this new edition. Frank Westhoff has been my most faithful user of this text over many years and he still manages to read it closely enough to point out many potential improvements.

This year Steve Rivkin also joined the list of instructor-critics and I really gained quite a bit from having a new pair of eyes look at the text. To the list of former students whose efforts still appear here (Mark Bruni, Eric Budish, Adrian Dillon, David Macoy, Jordan Milev, Tatyana Mamut, Katie Merrill, and Jeff Rodman) I can now add the name of Doug Norton, who helped me to assemble most of the new extensions in this edition.

Special thanks again go to my wife Susan, who, seeing now 18 editions of my microeconomics texts come and go, has given up all hope of neatness (or, it should be added, of finding me in a good mood). My children (Kate, David, Tory, and Paul) all seem to be living happy and productive lives despite a severe lack of microeconomic education. As the next generation (Beth, Sarah, and David) gets older, perhaps they will seek enlightenment—at least to the extent of wondering what the books dedicated to them are all about.

Walter Nicholson
Amherst, Massachusetts
February, 200

Brief Contents

PART 1

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