二十一世纪普通高等院校实用规划教材·经济管理系列

国际商务英文与函电

English for International Business and Correspondence

林涛 姜丽 等编著

· 先进性与基础性相统一 ·

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内 容 简 介

本书包含国际商务的一些最新知识，着重介绍国际商务业务过程中对外英文函电的写作，包括：商业书信的写作要求，建立贸易关系，促销，询盘与回复，报价、发盘和还盘，订单、销售合同及履行，支付条款，保险，装运，抱怨与调停，进出口贸易与补偿贸易，对外直接投资与合资企业等章节。本书比以往的外贸英文函电教材范围更广，内容更新；同时主要章节都配套英文对话，有助于读者在学习国际商务英文函电写作的同时，提高专业英语的口头表达能力。

本书可作为国际商务和国际贸易专业的核心课程双语教材。书中很多案例和相关单据都是根据作者十几年国际贸易实践工作的第一手资料进行改编的，时效性强，贴近业务实践，对实践具有指导意义，是从事国际商务业务工作者珍贵的参考材料。本书在重要章节还附有练习，有助于学生巩固所学章节内容，也方便教师教学参考。

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前　言

我离开外贸公司已经整整七年，在此之前我曾奋战在公司进出口业务操作与经营管理的第一线十多年。我有幸在外贸实践中不断思考和运用我在国际贸易专业本科和研究生学习中收获的专业知识，其中的艰辛和快乐我一直珍视为自己宝贵的人生财富。来到曾经熟悉的高校从事教学与科研，我始终不后悔自己的选择。特别是通过“国际贸易实务”和“国际商务英文函电”两门专业课程的教学，我有机会总结自己在外贸实践中的经验，并将其融入课堂教学，与学生快乐地分享。在繁忙的教学中，我一直想编写一本实用而新颖的教材，使我的学生在进入公司前能得到国际商务专业知识的培训。它应该具有知识的前沿性和很强的实践性。这就是我编写本书的初衷。

本书主要针对目前高等院校国际商务、国际经济与贸易、国际金融等涉外经济专业的本科、高职高专学生而写，可作为相关课程的教材，也可作为涉外公司和从事国际商务的企业人员的培训、学习用书。作者在教学工作和业务实践中深感国内现有的类似教材较为陈旧，并与实际业务操作有一定距离。因此，编写一本新颖、实用的专业英文教材对于提高国际商务等相关专业学生和业务人员的专业知识和外语应用能力具有重要意义。

本书特点之一是系统性：包含了国际商务及经济全球化的一些最新知识，着重介绍国际商务业务过程中对外英文函电写作，包括商业书信的写作要求，建立贸易关系，促销，询盘与回复，报价、发盘和还盘，订单、销售合同及履行，支付条款，保险，装运，抱怨与调停，进出口贸易与补偿贸易，对外直接投资与合资企业等内容。本书比以往的外贸英文函电教材范围更广，内容更新；同时主要章节都配有英文对话，有助于读者在学习国际商务英文函电写作的同时，提高专业英语的口头表达能力。

本书的另一特点是实用性：在每个业务操作章节编写了相应的国际商务案例，力图让读者能通过各章节的学习，提高实际操作能力。其中很多案例和相关单据都是根据作者十几年国际贸易实践工作的第一手资料进行改编的，时效性强，贴近业务实践，具有实践的指导意义，是从事国际商务业务工作珍贵的参考资料。本书在重要章节中还附上练习，有助于学生巩固所学章节内容，也方便教师教学参考。

本书共十五单元，并在书后附上有关单证和国际贸易惯例，可作为高等院校的双语课程教材使用。各院校和培训单位可以根据学员情况和课时，选讲有关章节。建议国际商务及相关专业本科生可全部学完本书内容，外专业和高职高专学生可以选学本书第三至十二单元的内容。

本书在编写过程中，参考了国内大量的外贸英文函电教材，作者在此深表谢意。同时，本人尤其感谢美国南伊利诺伊大学商学院的相关教授和学者，如商学院院长 Prof. Gary A. Giamartino、Prof. Thomas Douglas、Ms. Janice Joplin、Ms. Cyndi Peterson 和 Prof. X. Terry Yan。

他们在我2009年访学期间给予许多帮助，特别是他们活跃而专业的课堂教学，对当今全球经济和美国经济的准确把握和敏锐的洞察力，让我收获良多。通过在美国商学院的访学，我获得了很多国际商务的最新知识，特别是他们最新的相关教材，这些对我编写此书帮助很大，我已尽力将这些精华编入此书。我相信这些内容对于有志于了解和研究当今国际商务发展和提高原版商务英文阅读能力的读者，都不无裨益。在此，我还想表达对姜丽老师的谢意。她在繁重的教学和科研工作中，抽出宝贵的时间帮助我完成了本书的写作，承担了书中国际商务英文函电书信的部分编写，没有她的协助，本书的完成估计还需拖一些时日。同时本书的写作得到了厦门理工学院教材基金的资助和国际商务人才培养模式创新实验区的帮助。厦门大学经济学院副院长、国际贸易专家黄建忠教授在百忙之中关心和指导本书的写作，在此一并致谢!

如果本书能使读者，特别是从事国际商务专业学习和工作的同志得到一些专业知识和英文阅读能力的提高，帮助他们拓展全球经济新视野，那将是对我自己最大的慰藉，也就实现了我编写本书的目的。由于作者水平有限，本书错误之处敬请批评指正!

林　涛

目　录

Unit One Global Economy and Market Globalization

A Case Story in the Global Economy Today

David is a college student majoring in international. On a recent Sunday, David was thinking to give his dad a gift for birthday and went shopping at a local shopping mall. He perused neckties with Italian and French brand names, and others made in China, Mexico, and Romania. He also considered electric shavers made by Braun (a German brand) and Philips (a Dutch brand). He eventually bought a Panasonic (a Japanese brand).

David was dreaming of buying a laptop computer. At the electronics store, he explored several models made in China's mainland, Ireland, Malaysia, and Taiwan. As he passed a travel agency, he remembered that his spring vacation was just around the corner and decided to consult his girl friend Melissa. Whipping out his Nokia cell phone (a Finnish brand, but made in Hungary, Mexico, and South Korea), he reached Melissa. Melissa answered on her Motorola phone (a U.S. brand, but made in Malaysia and other Asian locations). The two chatted about their dream trip to the beaches of southern Spain, considered Mexico, but decided they would probably end up in Panama City, Florida. David looked at a blouse made in Vietnam, but hesitated to purchase it because he had read that some products from Southeast Asia are made by child labor.

David left the mall and drove away in his Hyundai (a Korean brand, but made in China). He was envious of Melissa's car, a BMW (a German brand, but assembled in the United States with Asian, European, and South African components). Over the following weeks, David and his exchange-student friend, Anders met up several times at restaurants featuring food from various nations, including France, India, Lebanon, Mexico, etc. On Friday night, they watched the latest movie in the Matrix series (made in Australia and the United States, financed by the Japanese) on a friend's big-screen TV (a Dutch brand, but made in Indonesia). Over dinner, David and Anders enjoyed pasta from Italy and shrimp from El Salvador, and chatted about their school life and future. David was dreaming of an international career.

Globalization of Markets

As you can see from the opening story, international business touches our daily experiences. The globalization of markets refers to the ongoing economic integration and growing interdependency of countries worldwide. In practical terms, the globalization of markets is evident in several related trends. First is the unprecedented growth of international trade. In 1960, cross-border trade was modest — about $100 billion per year. Today, it accounts for a substantial proportion of the world economy, amounting to some $10 trillion annually. Second, trade between nations is accompanied by substantial flows of capital, technology, and knowledge. Third is the development of highly sophisticated global financial systems and mechanisms that facilitate the cross-border flow of products, money, technology, and knowledge. Fourth, globalization has brought about a greater degree of collaboration among nations through multilateral regulatory agencies such as the World Trade Organization (WTO) and the International Monetary Fund (IMF).

Globalization both compels and facilitates companies to pursue cross-border business activities and international expansion. Simultaneously, going international for a firm has become easier than ever before. A few decades ago, international business was largely the domain of large, multinational companies. Recent developments have created a more level playing field that allows firms of any size to benefit from active participation in international business. In addition, where cross-border business was once mainly undertaken by manufacturing firms, this is no longer the case. Companies in the service sector are also internationalizing, in such industries as banking, transportation, engineering, design, advertising, and retailing.

Phases of Globalization

Since the 1800s, we can identify four distinct phases in the evolution of market globalization. Each phase is accompanied by revolutionary technological developments and international trends.

The first phase of globalization began in about 1830 and peaked around 1880. International business became widespread during this period due to the growth of railroads, efficient ocean transport, and the rise of large manufacturing and trading companies. Invention of the telegraph and telephone in the late 1800s facilitated information flows between and within nations, and greatly aided early efforts to manage companies' supply chains.

The second phase of globalization began around 1900 and was associated with the rise of electricity and steel production. The phase reached its height just before the Great Depression, a worldwide economic downturn that began in 1929. In 1900, Western Europe was the most industrialized region in the world. Europe's colonization of countries in Asia, Africa, the Middle East, and beyond led to the establishment of some of the earliest subsidiaries of multinational firms. European companies such as BASF, British Petroleum, Nestle, Shell, and Siemens had established foreign manufacturing plants by 1900. In the year before World War I (pre-1914), many firms were already operating globally. The Italian manufacturer Fiat supplied vehicles to nations on both sides of the war.

The third phase of globalization began after World War II. At war's end in 1945, substantial pent-up demand existed for consumer products, as well as for input goods to rebuild Europe and Japan. The United States was least harmed by the war and became the world's dominant economy. Substantial government aid helped stimulate economic activity in Europe. Before the war, tariffs and other trade barriers had been high, and there had been strict controls on currency and capital movements. Several industrialized countries, including Australia, Britain, and the United States, systematically sought to reduce barriers to international trade. The result of this effort was the General Agreement on Tariffs and Trade (GATT). Emerging from the Bretton Woods Conference of 23 nations in 1947, the GATT served as a global negotiating forum for liberalizing trade barriers. The GATT marked the beginning of a series of annual negotiating meetings aiming at reducing barriers to international trade and investment. The GATT eventually transformed into the World Trade Organization (WTO) as more countries joined this multinational agency. The World Trade Organization is a multilateral governing body empowered to regulate international trade and investment. The WTO aims to ensure fairness and efficiency in international transactions. Some 149 nations are now members of the WTO. Additional global cooperation in the post-war era gave birth to other international organizations such as the International Monetary Fund and the World Bank. Early multinationals from this third phase of globalization originated from the United States, Western Europe, and Japan. The Europeans often expanded into former colonies. Firms like Unilever, Philips, Royal Dutch Shell, British Petroleum, and Bayer organized their businesses by establishing independent subsidiaries in each of the foreign countries where they did business. American multinationals such as IBM, Boeing, Texas Instruments, Xerox, and McDonnell Douglas spread out across the globe on the strength of technological and competitive advantages. Growing multinational enterprise (MNE) activities and early efforts at trade liberalization resulted in substantial increases in international trade and investment beginning in the 1960s. Recovered from World War II, MNEs in Europe and Japan began to challenge the global dominance of U.S. multinationals. With the easing of trade barriers and currency controls, capital began to flow freely across national borders, leading to integration of global financial markets.

The fourth and current phase of globalization began in the early 1980s. This period witnessed enormous growth in cross-border trade and investment. The current phase was triggered by key trends, including the commercialization of the personal computer, the development of the Internet and the Web browser, advances in communications and manufacturing technologies, the collapse of the Soviet Union and ensuring market liberalization in central and Eastern Europe, and the industrialization and modernization efforts of East Asian economies, including China.

Growing international prosperity began to reach emerging markets such as Brazil, India, and Mexico. The 1980s witnessed huge increases in foreign direct investment (FDI), especially in capital- and technology-intensive sectors. Technological advances in information, communications, and transportation made it feasible for managers to organize far-flung operations around the world, geographically distant yet electronically interconnected. These technologies also facilitated the globalization of the service sector in areas such as banking, entertainment, tourism, insurance, and retailing. The merger of major firms once viewed as strongholds of national corporate power exemplified the growing integration of the world economy. For example, GM acquired Saab in Sweden, Ford acquired Mazda in Japan, and Daimler Benz bought Chrysler in the United States.

In the contemporary era, countless firms configure and coordinate trade and investment activities in a giant global marketplace. The ensuing phases of globalization have gradually shrunk the world into a manageable global marketplace.

Dimensions of Market Globalization

As a broad phenomenon, globalization has been investigated from the perspective of various disciplines, including economics, history, anthropology, political science, sociology, and technology. In terms of international business, market globalization can be viewed simultaneously as a (1) consequence of economic, technological, and government policy trends; (2) driver of economic, political, and social phenomena; and (3) driver and consequence of firm-level internationalization. Globalization of markets is a multifaceted phenomenon, with five major dimensions:

(1) Integration and interdependence of national economies

Internationally active firms devise multinational operations through trade, investment, geographic dispersal of company resources, and integration and coordination of value chain activities — the sequence of value-adding activities performed by the firm in the process of developing, producing, marketing, and servicing a product. The aggregate activities of these firms give rise to economic integration. Governments contribute to this integration by various means. First, they gradually lower barriers to international trade and investment (for example, by negotiating trade agreements). Second, they increasingly harmonize their monetary and fiscal policies within regional economic integration blocs (also known as trade blocs), such as the European Union. Third, they devise the supervision supranational institutions — such as the World Bank, International Monetary Fund, and the World Trade Organization — that seek further reductions in trade and investment barriers.

(2) Rise of regional economic integration blocs

Closely related to the previous trend is the emergence since the 1950s of regional economic integration blocs. Examples include the North American Free Trade Agreement area (NAFTA), the Asia Pacific Economic Cooperation zone (APEC), and Mercosur in Latin America. These regional economic blocs incorporate groups of countries within which trade and investment flows are facilitated through the reduction of trade and investment barriers. In more advanced arrangements, such as the "common market," barriers to the cross-border flow of factors of production (mostly labor and capital) are removed. The European Union, in addition to adopting free trade among its members, is harmonizing fiscal and monetary policies and adopting common business regulations.

(3) Growth of global investment and financial flows

In the process of conducting international transactions, firms and governments buy and sell large volumes of national currencies (such as dollars, euros, and yen). The free movement of capital around the world — the globalization of capital — extends economic activities across the globe and is fostering interconnectedness among world economies. Commercial and investment banking is a global industry. The bond market has gained worldwide scope, with foreign bonds representing a major source of debt financing for governments and firms. Information and communications networks facilitate heavy volumes of financial transactions every day, integrating national markets. Nevertheless, widespread integration can have negative effects. For example, when Thailand and Malaysia experienced a monetary crisis in 1997, it quickly spread to South Korea, Indonesia, and the Philippines, causing prolonged recession in most East Asian economies.

(4) Convergence of consumer lifestyles and preferences

Around the world, many consumers are increasingly similar in how they spend their money and time. Lifestyles and preferences are converging. Consumers in Tokyo, New York, and Paris demand similar household goods, clothing, automobiles, and electronics. Teenagers everywhere are attracted to iPods, Nokia cell phones, and Levi's jeans. Major brands have gained a worldwide following. The trend is encouraged by greater international travel, movies, global media, and the Internet, which expose people to products, services, and living patterns from around the world. Hollywood films such as Kill Bill and Lord of the Rings receive much attention from a global audience. Convergence of preferences is also occurring in industrial markets, where professional buyers source raw materials, parts, and components that are increasingly standardized — that is, very similar in design and structure. Yet, while converging tastes facilitate the marketing of highly standardized products and services to buyers worldwide, they also promote the loss of traditional lifestyles and values in individual countries.

(5) Globalization of production

Intense global competition is forcing firms to reduce the cost of production and marketing. Companies strive to drive down prices through economies of scale and by standardizing what they sell. They seek economies in manufacturing and procurement by shifting these activities to foreign locations in order to take advantage of national differences in the cost and quality of factor inputs. Firms in the auto and textile industries, for example, have relocated their manufacturing to low labor-cost locations such as China, Mexico, and Eastern Europe. Production on a global basis is occurring in the service sector as well, in such industries as retailing, banking, insurance, and data processing. As an example, the real estate firm RE/MAX has established more than 5,000 offices in over 50 countries. The French firm Accor operates hundreds of hotels worldwide.

Drivers of Market Globalization

(1) Worldwide reduction of barriers to trade and investment

The tendency of national governments to reduce trade and investment barriers has accelerated global economic integration. For example, tariffs on the import of automobiles, industrial machinery, and countless other products have declined nearly to zero in many countries, encouraging freer international exchange of goods and services. Reduction in trade barriers is greatly aided by the WTO. China joined the WTO in 2001 and has committed to making its market more accessible to foreign companies. Reduction of trade barriers is also associated with the emergence of regional economic integration blocs, a key dimension of market globalization.

(2) Market liberalization and adoption of free markets

The collapse of the Soviet Union's economy in 1989, the tearing down of the Berlin Wall that same year, and China's economic reforms smoothed the integration of former economics into the global economy. Numerous East Asian economies, stretching from South Korea to Malaysia and Indonesia, had already embarked on ambitious market-based reforms. India joined the trend in 1991. These events opened roughly one-third of the world to freer international trade and investment. China, India, and Eastern Europe have become some of the most cost-effective locations for producing goods and services worldwide. These processes encouraged economic efficiency and attracted massive foreign capital into their national economies.

(3) Industrialization, economic development, and modernization

Industrialization implies that emerging markets — rapidly developing economies in Asia, Latin America, and Eastern Europe — are moving from being low value-adding commodity producers, dependent on low-cost labor, to sophisticated competitive producers and exporters of premium products such as electronics, computers, and aircraft. For example, Brazil has become a leading producer of private aircraft, and the Czech Republic now excels in the production of automobiles. India is now a leading supplier of computer software. Economic development is enhancing standards of living and discretionary income in emerging markets. Perhaps the most important measure of economic development is Gross National Income (GNI) per head. Africa is home to the lowest-income countries, along with India and a few other countries in Asia and Nicaragua. These areas are also characterized by low levels of market globalization. The adoption of modern technologies, improvement of living standards, and adoption of modern legal and banking practices are increasing the attractiveness of emerging markets as investment targets and facilitating the spread of ideas, products, and services across the globe.

(4) Integration of world financial markets

Integration of world financial markets makes it possible for internationally active firms to raise capital, borrow funds, and engage in foreign currency transactions. Financial services firms follow their customers to foreign markets. Cross-border transactions are made easier partly as a result of the ease with which funds can be transferred between buyers and sellers, through a network of international commercial banks. For example, as an individual you can transfer funds to a friend in another country using the Society for Worldwide Interbank Financial Telecommunication (SWIFT) network. Connecting over 7,800 financial institutions in some 200 countries, SWIFT facilitates the exchange of financial transactions. The globalization of finance contributes to firms' ability to develop and operate world-scale production and marketing operations. It enables companies to pay suppliers and collect payments from customers worldwide.

(5) Technological advances

Perhaps the most important drivers of market globalization since the 1980s have been technological advances in communications, information, manufacturing, and transportations. While globalization makes internationalization an imperative, technological advances provide the means for internationalization. Initially, technological advances have greatly eased the management of international operations. Firms now interact more efficiently with foreign partners and value-chain members than ever before. Firms transmit all variety of data, information, and vital communications that help ensure the smooth running of their operations worldwide. In addition, companies use information technology to improve the productivity of their operations, which provides substantial competitive advantages. For example, information technology allows firms to more efficiently adapt products for international markets, or produce goods in smaller lots to target international markets. In addition, technological advances have made the cost of international operations affordable for all types of firms, explaining why so many small- and medium-sized enterprises (SMEs) have internationalized during the past two decades. Technological advances have also spurred the development of new products and services that appeal to a global audience. China and India are the new beachheads of technological advances. India has become a focus of global Internet- and knowledge-based industries. Top management at Intel and Motorola, two of the world's premier technology companies, agree that China is the place to be when it comes to technological progress. Both firms receive a substantial portion of their revenue from sales in China. Management predicts double-digit increases in demand for technology products in China far into the future. Intel's CEO commented, "I come back from visiting China and feel as if I've visited the fountain of youth of computing." The most important activity underlying technological advances is innovation. Societies and organizations innovate in various ways, including new product designs, new production processes, new approaches to marketing, and new ways of organizing or training. Technological advances have had the greatest impact in several key areas: information technology, communications, manufacturing, and transportation.