普通高等教育“十一五”国家级规划教材

商务专业英语系列教材 王关富 张海森 总主编

国际贸易专业英语（第二版）

English for International Trade (Second Edition)

檀文茹 主编

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总　　序

经济全球化及加入世界贸易组织给我们带来巨大的挑战，这种挑战不仅表现在我国企业在国际经营活动中必须遵守国际商业规则与惯例，同时还要求我国商界从业人员及在校学生必须提升自己的专业知识，学习国外先进的管理技术、经营理念，熟悉国际商务活动的行为规范，具有娴熟的商务沟通技能，实现与国际市场的真正接轨，而所有这一切的最终实现在很大程度上取决于他们直接用外语获取相关专业知识的能力和水平以及商务英语交际的技能。为帮助在校学生、商界从业人员和有志于从事商务实践的人士实现这一目标，我们推出了《商务专业英语系列丛书》。

这套丛书的基本指导思想是：以商科各专业的知识框架为素材，用语言学习的方法将它们有机地编撰成有鲜明特色的教材，可适用于各类不同的读者，以达到各自不同的目的。丛书包括：《工商管理专业英语》、《人力资源管理专业英语》、《国际商法专业英语》、《国际贸易专业英语》、《证券专业英语》、《银行专业英语》、《国际经济专业英语》、《国际经济合作专业英语》、《旅游管理专业英语》、《国际投资专业英语》、《饭店管理专业英语》、《国际营销专业英语》、《保险专业英语》、《公共管理专业英语》、《物流专业英语》、《海关专业英语》和《国际物流专业英语》。

本套丛书有别于目前市场上种类繁多的商务英语书籍。在推出这套丛书之前，我们对商务英语图书市场进行了深入的调研与分析。这次调研发现市场上现有的商务英语类书籍多以阅读、写作和听说类为主，选材涉及经济、工商、金融、贸易等，其特点之一是涉及到的专业内容没有系统性和完整性，其二是编写的出发点主要在语言上。当然，市场上也有一些以专业知识为内容的教科书，但它们往往都是零散的，很难满足不同背景读者的不同需要；偶尔上市的这类系列丛书，要么系统性不强，要么只重专业知识或只重语言学习，鲜有两者有机结合的。因此，目前读者特别需要一套系统性强、专业知识与语言技能训练兼容、能满足不同读者需要的丛书。

正是基于上述需要，我们精心策划《商务专业英语系列丛书》与大家见面。本系列丛书具有十分鲜明的特色，主要有：（1）目的：为具有专业背景的学生和读者提供学习商务英语和提高实际交流能力的有效学习途径，同时英语语言类专业背景

的学生和读者可以学习相关专业的基本原理和框架性专业知识；（2）选材：涵盖各相关专业的基本知识，专业内容具有代表性，语言规范标准；（3）构架：专业知识和语言训练的最佳结合，除了专业知识外，还配有阅读理解问题、专业术语、常用短语、要点综述、相关背景知识和注释以及丰富多彩的练习。

参与本套丛书编写的作者来自对外经济贸易大学、北京外国语大学、中国人民大学等多所高等院校，他们都兼有商科和语言类的学历与学位，而且都是从事商科或商务英语教学与研究多年的资深学者，具有各自专业扎实的知识基础和丰富的教学经验。能有那么多出类拔萃的优秀学者参与编撰这套丛书是我们的极大骄傲和荣幸，同时也是广大读者可以对本套丛书寄予期望和信任的有利保证。

在这套丛书的编写过程中，对外经济贸易大学校长陈准民教授给予了关注和支持；对外经济贸易大学出版社刘军社长高度重视；出版社宋海玲编辑则一直以来认认真真、兢兢业业，投入了大量的时间与精力，为丛书的推出作出了重要贡献。我们在此对他们一并表示衷心的感谢。

最后希望广大读者在使用本套丛书过程中，如发现不足与问题给予指正以便将来改进。

对外经济贸易大学
王关富
2005 年 1 月于惠园

前言

随着中国加入WTO，中国和WTO成员国之间的国际贸易往来更加密切，合作前景更加广阔。因此，急需大量的国际贸易人才，特别是急需具备掌握国际贸易知识的双语专业人才。本教材的编著目的是为了提高在校大学生及具有相应知识水平的各类人才用英语从事贸易活动的能力，旨在帮助广大国际贸易专业的学生和从事国际贸易的各种人才掌握中英文国际贸易的知识，提高他们的国际贸易知识和竞争力。

本选材课文全部来源于近两年国外原版书籍，涵盖国际贸易的核心领域，包含了国际贸易知识、政策和实务的新观念。课文注意理论性、知识性和实际性相结合。特别是对词汇有中英文双语的解释，帮助读者更好地理解国际贸易知识点。教材练习形式多样，既有对原文知识的理解练习如判断正误，又包括对词汇的强化练习，还有小组讨论的口语练习形式。

本教材在2005版《国际贸易专业英语》的基础上作了较大的改进，根据国际贸易理论和实务最新的发展情况进行了补充、更新和完善。修订版的教材共分十三章，根据我国高等学校双语教学的要求和国际贸易专业教学的特点，精选了国际贸易理论、国际贸易政策、国际贸易方式、国际贸易收支、国际贸易壁垒、WTO、多哈回合、国际贸易术语、国际贸易背景、国际贸易合同、国际贸易运输等方面的优秀文章，涵盖了国际贸易专业的主要内容。

本教材具有内容丰富、专业面广、难度适宜等特点，同时在内容编排上充分考虑了读者的外语基础，内容验证度循序渐进，专业词汇标注醒目，方便读者阅读。

这本教材虽然是针对国际贸易专业的学生而写的，但是由于内容具备普遍性，对参加自学考试学习的学生和其他从事或准备从事国际贸易的学生和人员来说都是非常有参考价值的教材。

《国际贸易专业英语》自2005年出版以来，受到了大专院校师生的欢迎，并于

2007年被评为国家“十一五”规划教材。随着国际贸易的理论发展以及使用过这本教材的师生的意见，我们决定做进一步的充实与修订。修订与充实的主要内容有：

（一）删除了旧版的“Transfer Pricing”和“The Balance of Trade Problem of the US”的内容，增加了“Balance of Payments”和“The Doha Round；增强了实效性。

（二）对课文中的Key Terms和Notes的内容进行了补充，方便师生更好地理解课文中涉及到的内容。

（三）对原版教材的顺序进行了调整，使内容更合理化。

（四）为方便教学，我们还编写了与其配套的辅导用书。更方便广大读者自学。

在本教材的编写过程中，得到了中国对外经济贸易大学出版社宋海玲老师的指导，她对本教材的修订提出了许多宝贵的意见；另外本教材还参考了许多相关教材和互联网网址，在此向有关作者表示感谢。

希望本教材修订后，能够使其初版的内容更加充实、观点更加准确、实务性更强。但是，限于修订的时间较紧，加之作者水平所限，本次修订肯定还存在许多遗憾，本教材的不足之处，欢迎各界有识之士批评指正。

此外，本教材配有辅导用书和课件等立体化教学资源，供教师教学参考（见书末赠送课件说明）。

编者

2009年2月

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Unit One

International Trade Theories

Pre-reading questions:

1. What is international trade about?
2. What are the incentives for countries to engage in international trade?
3. What theories on international trade have you studied?
4. Which theories do you think best explain the nature of international trade?
5. In what way have these theories helped you understand international trade?

Text

International trade is a branch of economics. The theories on international trade have evolved through centuries with the economic development.

Mercantilism

In the seventeenth century the ideas of the Mercantilists predominated in Europe. Their philosophy was that international trade is a zero sum game i. e. , that the benefit which one country gains from international trade means a corresponding detriment to another country. If a country imported more than it exported, there was a net outflow of gold to other countries. This was seen as weakening national power and hence wealth, so that people were inclined to control international trade flows and arrange things so that there would preferably be a net inflow of gold from abroad.

This idea was severely criticized in around 1800 by British economists such as

Hume, Smith and Ricardo. They stressed that international trade is a positive sum game and that the Mercantilists were thus fundamentally wrong. Their criticism focused on two points.

The first point is the accumulation of gold. Hume argued that if economic activity does not increase, the extra stock of gold is mainly inflationary in its effects. This followed from the general assumption prevailing at the time that, although flows of goods and money were in principle equivalent to one another, what happened in the sphere of money could not influence developments in the sphere of goods. More gold would not then lead to more economic activity but to an increase in prices (the quantity of gold available per product). However, such an inflationary trend weakens the ability to export and it becomes attractive not to buy goods from domestic suppliers but to obtain them by importing from other countries where they are relatively cheap. Both effects, fewer exports and more imports, contribute to the automatic outflow of the accumulated gold to other countries. This was in fact experienced by countries such as Spain and Portugal after they had plundered huge quantities of gold and silver from Latin America. The Mercantilists expected the extra gold to depress interest rates while demand for money remained the same. But inflation prevented this.

The second criticism of the Mercantilist view originated from Smith and Ricardo, among others. They advocated free international trade and thus the abolition of government interference. Smith stressed in particular that free international trade created the opportunity for the optimum international division of labor, from which everyone could benefit. In Smith's view each country ought to specialize in the product in which it has an absolute cost and hence price advantage over its trading partners. He also stated that international trade can help to break down national monopolies, generating sounder competitive relationships.

The Absolute Cost Model

In an absolute cost model, a country has the lowest production costs and supplies foreign markets, too, as a result. Example: say Turkey and Greece have the same average wage level. Turkey has higher productivity of labor than Greece in producing leather clothing, while Greece's productivity of labor is higher in wine production (the value of the goods is deemed to depend only on labor costs). If Turkey concentrates

on producing and exporting leather clothing, while Greece specializes in producing and exporting wine, consumers in both countries will have access to more of both goods under free trade than without free trade.

The Comparative Cost Model

The comparative cost model is based on two countries, two products and one factor of production — labor. Technical know-how or the state of technology is different in the two countries. There are also constant returns to scale and perfect competition.

For example, let us take Indonesia and Japan as countries 1 and 2, and electronics and rice as products x and y. It takes Japan 2 hours of labor to produce one unit of electronics and 6 hours to produce one sack of rice. It takes Indonesia 4 hours of labor to produce one unit of electronics and 8 hours to produce one sack of rice. Since the productivity of labor depends on production per hour worked, this means that the greater the number of working hours needed to produce one unit of the product, the lower the productivity of labor.

Country	Electronics	Rice
Japan	2	6
Indonesia	4	8

If Japan produces one unit less of electronics, then it can produce 1/3 of a unit more rice; in Indonesia the opportunity cost of electronics is 1/2 a unit of rice. Since the local cost ratios (= comparative costs) differ between the two countries, the slope of the pp curve (production possibilities' curve) is also different.

This is usually also the case if the absolute production costs (in hours of labor) are lower in both sectors in one country than in the other. In our example, the absolute production costs of both rice and electronics are lower in Japan. However, since the opportunity cost of electronics is lower in Japan than in Indonesia, Japan has a comparative cost advantage in producing electronics and Indonesia has a comparative cost advantage in producing rice. If countries whose pp curves have different slopes engage in free trade in the product in which they have a comparative advantage, they can both benefit. Since Japan has a comparative advantage in producing electronics and Indonesia has an advantage in rice, if international trade takes place, Indonesia

will export rice and Japan electronics.

The Heckscher-Ohlin-Samuelson（HOS）Model

The HOS Model is a simple theoretical model that was developed at the beginning of last century by the Swedes, Eli Heckscher and Bertil Ohlin. It was in particular the American economist, Paul Samuelson, who further refined and developed the theoretical model. This model was also based on the comparative cost concept and the idea that competitive positions depend on the supply conditions in specific locations and are therefore linked to countries (rather than companies). On this basis an attempt was made to describe in all their simplicity the principal adjustment processes which occur if two countries decide to open their borders to one another's products. This model is based far more explicitly than the Ricardo model on the idea that a general equilibrium is established in the economies, in which the equilibria in the various sub-markets are, in principle, inter-related — if the balance shifts in one sub-market, this affects the balance in other sub-markets.

An important mechanism in the HOS model as in the Ricardo model is that free international trade influences the prices of goods. However, if product prices change, adjustment processes take place in the economy — the sectors with a strong competitive position on the international market will expand under free trade, while others must shrink under the impact of foreign competition.

However, in contrast to Ricardo's model, there are simultaneous changes on the markets in the factors of production as a result of the emphasis on general equilibrium. Since the only distinction is between labor and capital, these changes are expressed in different wage and interest rates in the two countries. This in turn leads to a change in the intensity of factors of production, which means a change in the ratio between capital and other factors of production in the production process.

The Leontief Paradox

Empirical research conducted by Leontief quite soon after the Second World War showed that the specialization process in the US, for example, did not correspond to what HOS predicted (and this was repeatedly found in later research). Where free trade ought to have caused the Americans to concentrate increasingly on producing

relatively capital- intensive goods — the goods in which the US had a comparative advantage — this did not appear to be what happened in practice; the US imported relatively capital-intensive goods instead of exporting them. From that time on, people talked of the Leontief paradox. It was pointed out that three factors of production needed to be distinguished: human capital, labor and capital. Human capital means investment in labor via education, thus changing the quality of the labor. The fact that the US exported relatively intensive — intensive goods can be explained by the fact that it was mainly human capital that was concerned.

It was also stated that part of international trade results from the fact that people cannot have access to certain goods themselves (e. g. oil and other raw materials). Since raw materials are often capital-intensive to produce, the necessary imports of such materials into the US could also be a factor in the capital-intensive character of US imports.

Factor Intensity Reversal

A fundamental criticism of the HOS model was that it assumes that the sectors can be arranged in order of capital-intensity and that this arrangement is universal, i. e. the same in all countries. This does not appear to be so in reality — for example, where the agricultural sector in the industrialized countries often has above average capital-intensity, in the developing countries it is often highly labor-intensive in comparison with other sectors in those countries. Such a phenomenon is known in theory as factor intensity reversal. In that case it is not possible to draw a strict dividing line between goods which are relatively labor-intensive and those which are relatively capital-intensive to produce, but that is a central assumption in the HOS model. It should be clear that if, as some people think, factor reversal is fairly widespread, there is essentially no foundation for the idea that hitherto prevailed in trade theory, namely that countries have a comparative cost advantage "by nature", i. e. because of prevailing conditions of supply, in a range of goods and services which can be specifically and objectively specified in a universal manner.

As there was ever increasing doubt about whether there is in fact any systematic pattern in the specialization processes of countries, so the need arose for new trade theories.

Modern Trade Theories

The new trade theories focused increasingly on the question: what can we say about the business characteristics of exporting companies as opposed to companies which do not or cannot export? The idea is that it is not so much national factors — or, if you like, locational factors — that explain in which goods a strong competitive position can be developed, but rather factors relating to specific sectors or companies. Another important difference in relation to traditional trade theories is that modern trade theories abandon the assumption of constant returns to scale and replace it with the concept of economies of scale in production. For example, this may mean that as a company produces on a larger scale, average costs fall (internal economies of scale), but also that costs will decline if numerous other businesses are established in the vicinity (external economies of scale), or both.

In the first case, namely internal economies of scale, average costs fall because an individual company can produce more efficiently by expanding the scale of its production. Economies of scale are external if an individual company cannot itself influence its average costs by expanding production, but the average costs depend on the scale and structure of surrounding industry. This is the case if the industry reaches a size where all kinds of facilities which reduce production costs become viable; for instance, education, infrastructure or component suppliers. Thus, internal economies of scale arise at company level, and external economies of scale at industry level, often by chance.

An example of external economies of scale

Economies of scale in Japan and Thailand

JAPAN			THAILAND		
Number (x 1,000)	Average costs	Global demand price (x 1,000)	Number (x 1,000)	Average costs	Global demand price (x 1,000)
1	10,000	1.5	1	6,000	3
2	5,000	4	2	3,000	6
400	1,000	700	600	250	875
875	250	875	1,000	100	1,000

Both Japan and Thailand can produce calculators. Let us assume that external economies of scale apply to calculator production and this production takes place under perfect competition so that the price is equal to the average cost. The economies of scale cause the aggregate average cost curve to fall. Japan is the first to set up a calculator industry. Initially, the calculators cost an average of x 10,000 per unit. Since demand exceeds supply, the supply will be increased. This may lead to each company producing more (internal economies of scale) but it may also cause more and more such firms to be set up in the neighborhood of the company that had begun producing calculators (external economies of scale). This causes average costs to fall. The process continues so long as there is excess demand on the market and will result in a situation in which 875,000 calculators are produced in Japan at an average cost of x 250 each unit. If at that stage another supplier, say Thailand, wants to penetrate the market, the only way to achieve it is by launching production in that country straight away on a massive scale of at least 600,000 units because it is only if production exceeds 600,000 units that Thailand can undercut Japan's unit production costs for 875,000 calculators (we assume that the average cost curve in both countries is constantly falling). If the industry were to be transferred in this way, then in view of the size of the market it is clear that Japan will also loose the remaining production to Thailand, which produces more cheaply and will eventually be producing 1,000,000 units.

Vocabulary

predominate *v.* 统治，成为主流，支配，占优势
have or gain controlling power or influence; prevail
philosophy *n.* 基本原理；观点
a basic theory; a viewpoint
detriment *n.* 损害；伤害；破坏；损失
harm; damage or loss
corresponding *adj.* 相应的；相当的
agreeing in amount, magnitude, or degree

outflow *n.* 流出；流出物
the act or the process of flowing out
inflow *n.* 流入
the act or the process of flowing in
fundamentally *adv.* 基础地；根本地
basically; at bottom or by one's (or its) very nature
accumulate *v.* 聚集；累积
get or gather together
stock *n.* 积累；存货；贮存
a supply of something available for future use
inflationary *adj.* 通货膨胀的；通货膨胀倾向的
associated with or tending to cause increases in inflation
assumption *n.* 假定；设想
a statement that is assumed to be true and from which a conclusion can be drawn
prevailing *adj.* 主要的；流行的
most frequent or common
equivalent *adj.* 相当的；相等的
equal in amount or value
sphere *n.* 领域；范围；方面
a particular field of activity
available *n.* 可用到的；可利用的
present and ready for use; obtainable
domestic *adj.* 国内的；家庭的
of concern to or concerning the internal affairs of a nation
plunder *v.* 抢劫
take illegally
originate (from) *v.* 起源；发生
come into existence
advocate *v.* 提倡；鼓吹
speak; plead; or argue in favor of
abolition *v.* 废除

the act of abolishing a system or practice or institution

interference *n.* 干涉

the act of hindering or obstructing or impeding

optimum *adj.* 最佳的;最适宜的;

most desirable possible under a restriction expressed or implied

specialize (in) *v.* 专攻;专业于

devote oneself to a special area of work

monopoly *n.* 垄断

a market in which there are many buyers but only one seller

productivity *n.* 生产率;生产力

the rate of output per unit of input

concentrate (on) *v.* 专注;贯注

direct one's attention on something

know-how *n.* 技术诀窍;专有技术

a procedure, process, knowledge of doing things; a formula to prepare something that cannot be patented

slope *n.* 斜率;坡度

the property possessed by a line or surface that departs from the horizontal

theoretical *adj.* 理论的

of, relating to or based on theory

adjustment *n.* 调整;调节

the act of adjusting or the state of being adjusted.

process *n.* 过程;程序

a particular course of action intended to achieve a result

explicitly *adv.* 明确地;明白地

equilibrium (*pl.* equilibria) *n.* 均衡;平衡

a stable situation in which forces cancel one another

inter-related *adj.* 互相联系的

reciprocally connected

sub-market *n.* 分市场

part or a category of a market