

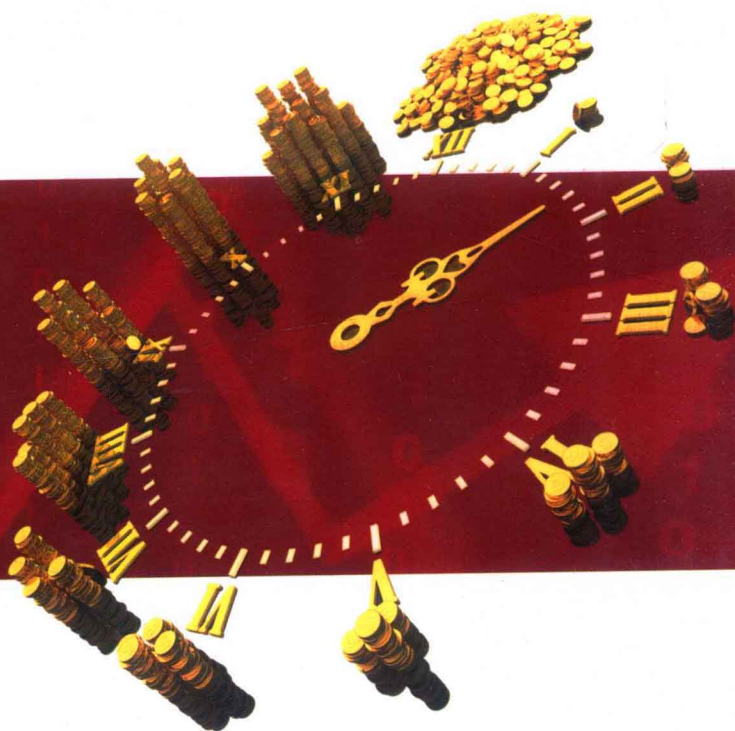


· 普通高等院校“十二五”规划教材

国际贸易 理论与政策 (英文版)

International Trade Theory and Policy

徐振领 编著



国防工业出版社

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上海市教委重点学科建设项目
上海市本科教育高地建设项目
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· 北京 ·

内 容 简 介

全书分为五个部分,共 13 章。全书主要围绕国际贸易理论与政策两个方面展开,理论部分重点阐述了传统贸易理论(包括古典和新古典贸易理论)和新贸易理论,同时解释了商品生产地理集中和生产过程的国际化分工。政策部分重点阐述了关税理论和世界贸易组织对中国出具的贸易政策审议报告中提及的非关税措施,以及应急贸易措施。不管是理论部分还是政策部分,教材均引用了诸多与中国相关的数据和案例。

本书的读者对象主要为高等院校国际贸易类专业本科及部分英文基础较好的专科学生。本书也可以作为国际贸易从业人员的参考学习材料。

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前 言

国内关于国际贸易理论与政策方面的英文版书籍大多来自于国外的国际经济学著作中的国际贸易部分,但这些著作的内容编排往往因作者而异,而且书中引用的数据和案例鲜有中国的,因此,本书的写作初衷就是编写一本适合中国实际的国际贸易教材,以更好地服务于国际贸易课程的双语或全英语教学实践,满足学生及相关专业人员自学需要。

本教材主要围绕国际贸易理论与政策两个方面展开。理论部分重点阐述了传统贸易理论(包括古典和新古典贸易理论)和新贸易理论,同时解释了商品生产地理集中(the geographical concentration of production in some locations)和生产过程的国际化分工(the process of international fragmentation of production)。政策部分重点阐述了关税理论和世界贸易组织对中国出具的贸易政策审议报告中提及的非关税措施,以及应急贸易措施(contingency trade measures)。不管是理论部分还是政策部分,教材均引用了诸多与中国相关的数据和案例。

本教材编写过程中参考了大量英文文献,特别是世界贸易组织(WTO)每年的“世界贸易报告”,其它国际组织的官方文件和互联网资料等。在编写体例方面,本教材共分为五个部分,每个部分一个主题,每个主题根据逻辑和内容顺序排列,前后关联。

本教材可用于国内高校国际贸易类课程的课堂教学,为方便课堂教学和课后自学,本教材配备了配套的章节习题和课件。

书中不妥和疏漏之处,恳请读者指正!

徐振领
2013年3月

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Part I Introduction

International trade is the exchange of capital, goods, and services across international borders or territories. International trade is also a branch of economics, which, together with international finance, forms the larger branch of international economics.

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. Without international trade, nations would be limited to the goods and services produced within their own borders.

International trade is, in principle, not different from **domestic trade** as the motivation and the behavior of parties involved in a trade do not change fundamentally regardless of whether trade is across a border or not.

The main difference is that international trade is typically more costly than domestic trade. The reason is that a border typically imposes additional costs such as tariffs, time costs due to border delays and costs associated with country differences such as language, the legal system or culture.

Another difference between domestic and international trade is that factors of production such as capital and labor are typically more mobile within a country than across countries. Thus international trade is mostly restricted to trade in goods and services, and only to a lesser extent to trade in capital, labor or other factors of production. Trade in goods and services can serve as a substitute for trade in factors of production.

Chapter 1

History of International Trade

The history of international trade chronicles **notable events** that have affected the trade between various countries. In the era before the rise of the nation state, the term “international” trade cannot be literally applied, but simply means trade over long distances; the sort of movement in goods which would represent international trade in the modern world.

1.1 Trade in Ancient Ages: to the 1st Century BC

1.1.1 The market place

Trade provides mankind’s most significant meeting place, the market. In primitive societies only religious events—cult rituals or rites of passage such as marriage—bring people together in a comparable way. But in these cases the participants are already linked, by custom or kinship.

The process of **barter**^① brings a crowd together in a more random fashion. New ideas, along with precious artifacts, have always travelled along trade routes. And the natural **week**^②, the shared rhythm of a community, has frequently been the space between market days.

Agricultural produce and everyday household goods tend to make short journeys to and from a local market. Trade in a grander sense, between distant places, is a different matter. It involves entrepreneurs and middlemen, people willing to accept delay and risk in the hope of a

① Barter is a system of exchange by which goods or services are directly exchanged for other goods or services without using a medium of exchange, such as money.

② Unlike the day, the month or the year, the week is an entirely artificial period of time. It is probably first made necessary by the demands of trade. Hunter-gatherers and primitive farmers have no need of such a concept, but commerce benefits from regularity. The original weeks are almost certainly the gaps between market days.

Weeks of this kind vary from four days among some African tribes to ten days in the Inca civilization and in China. In ancient China a five-day week sets the working pattern for the Confucian civil service, every fifth day being a ‘bath and hair-washing day’. Later this is extended to a ten-day week, with the three periods of each month known as the first, middle and last bath.



large profit. The archive found at **Ebla**^① gives a glimpse of an early trading city, from the middle of the third millennium BC.

When travel is slow and dangerous, the trader's commodities must be as nearly as possible imperishable; and they must be valuable in relation to their size. Spices fit the bill. So do rich textiles. And, above all, precious ornaments of silver and gold, or useful items in copper, bronze or iron.

As the most valuable of commodities (in addition to being compact and easily portable), metals are a great incentive to trade. The extensive deposits of copper on **Cyprus**^② bring the island much wealth from about 3000 BC (Cyprus, in Latin, gives copper its name—cyprium corrupted to cuprum).

Later, when the much scarcer commodity of tin is required to make bronze, even distant **Cornwall**^③ becomes—by the first millennium BC—a major supplier of the needs of Bronze Age Europe.

1.1.2 Waterborne traffic: 3000-1000 BC

By far the easiest method of transporting goods is by water, particularly in an era when towns and villages are linked by footpaths rather than roads. The first extensive trade routes are up and down the great rivers which become the backbones of early civilizations—the Nile, the Tigris and Euphrates, the Indus and the Yellow River.

As boats become sturdier, coastal trade extends human contact and promotes wealth. The eastern Mediterranean is the first region to develop extensive maritime trade, first between Egypt and Minoan Crete and then—in the ships of the intrepid **Phoenicians** (figure 1.1)—westwards through the chain of Mediterranean islands and along the north African coast.

Phoenicia is famous for its luxury goods. The cedar wood is not only exported as top-quality timber for architecture and shipbuilding. It is also carved by the Phoenicians, and the same skill is adapted to even more precious work in ivory. The rare and expensive dye, Tyrian purple, complements another famous local product, fine linen. The metalworkers of the region are famous, particularly in gold. And Tyre and Sidon are known for their glass.

These are only the products which the Phoenicians export (see box 1.1). As traders and middlemen they take a cut on a much greater Cornucopia of precious goods—as the prophet Ezekiel grudgingly admits.

Box 1.1 Phoenicia

The Phoenicians were among the greatest traders of their time and owed much of their prosperity to trade. At first, they traded mainly with the Greeks, trading wood, slaves, glass

① A city in ancient Syria, situated to the south-west of Aleppo. It became very powerful in the mid 3rd millennium BC, when it dominated a region corresponding to modern Lebanon, northern Syria, and SE Turkey.

② The largest Mediterranean island, lying in the eastern Mediterranean about 80km (50 miles) south of the Turkish coast; pop. 708,000 (est. 1991); official languages, Greek and Turkish; capital, Nicosia.

③ A county occupying the extreme south-western peninsula of England; county town, Truro.

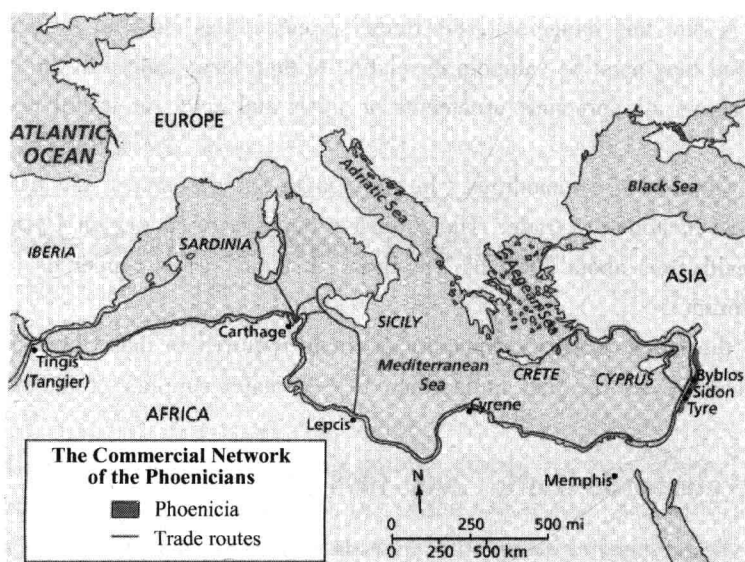


Figure 1.1 Map of Phoenicia and trade routes

and powdered Tyrian purple. Tyrian purple was a violet-purple dye used by the Greek elite to color garments. In fact, the word Phoenician derives from the ancient Greek word *phoinios* meaning “purple”. As trading and colonizing spread over the Mediterranean, Phoenicians and Greeks seemed to have unconsciously split that sea in two: the Phoenicians sailed along and eventually dominating the southern shore, while the Greeks were active along the northern shores. The two cultures clashed rarely, mainly in Sicily, which eventually settled into two spheres of influence, the Phoenician southwest and the Greek northeast.

1.1.3 The caravan: from 1000 BC

In the parched regions of north Africa and Asia two different species of camel become the most important beasts of burden—the single-humped Arabian camel (in north Africa, the Middle East, India) and the double-humped Bactrian **camel** (central Asia, Mongolia). Both are well adapted to desert conditions. They can derive water, when none is available elsewhere, from the fat stored in their humps.

It is probable that they are first domesticated in Arabia. By about 1000 BC caravans of camels are bringing precious goods up the west coast of Arabia, linking India with Egypt, Phoenicia and **Mesopotamia**^①.

This trade route brings prosperity to Petra, a natural stronghold just north of the Gulf of Aqaba on the route from the Red Sea up to the Mediterranean coast. In the heyday of the kingdom

^① Mesopotamia is a name for the area of the Tigris - Euphrates river system, corresponding to modern-day Iraq and to a lesser extent northeastern Syria, southeastern Turkey and smaller parts of southwestern Iran.



of Israel, around 1000 BC, this important site is occupied by the Edomites—bitter enemies of the Israelite kings, David and Solomon.

In the 4th century BC the Edomites are displaced by an Arab tribe, the Nabataeans. They soon come into conflict with new neighbors in Mesopotamia, the Seleucid Greeks, who have an interest in diverting trade from **the Gulf of Aqaba**.

1.1.4 A trade route from China: 2nd century BC

A tentative trade route is becoming established along a string of oases north of **the Himalayas** (figure 1.2). They are very exposed to the broad expanse of **steppes** (figure 1.3)—from which marauding bands of nomadic tribesmen are liable to descend at any moment—but protection by the Han dynasty in China is now making it reasonably safe for merchants to send caravans into this region. The goods are usually unloaded in each oasis and traded or bartered before continuing the journey westwards—where rich customers around the Mediterranean are eager for the luxury products of the east.

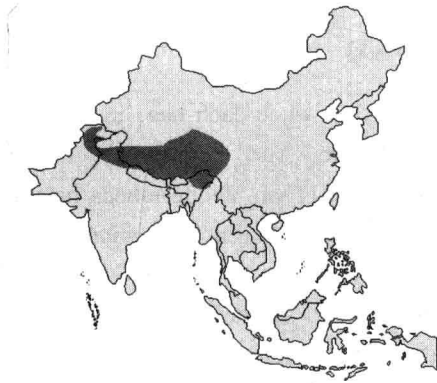


Figure 1.2 Himalayas Range map

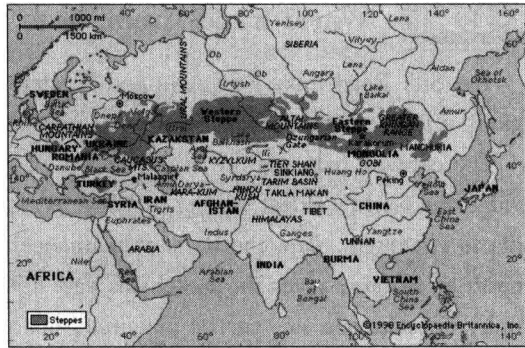


Figure 1.3 The famous steppes of Central Asia

In 106 BC, for the first time, a caravan leaves China and travels through to Persia without the goods changing hands on the way. **The Silk Road**^① (figure 1.4) is open.

In the 1st century BC the Romans gain control of Syria and Palestine—the natural terminus of the Silk Road, for goods can move west more easily from here by sea. Soon a special **silk market** (figure 1.5) is established in Rome.

China, proudly self-sufficient, wants nothing that Rome can offer. And the Han rulers are unwilling to release silk—either as thread or woven fabric—except in exchange for gold. It has been calculated that in the 1st century AD China has a hoard of some five million ounces of gold. In Rome the emperor Tiberius issues a decree against the wearing of silk. His stated reason is the drain on the empire's reserves of gold. The Silk Road introduces global economics.

^① Silk Road extending from Europe through Egypt, Somalia, the Arabian Peninsula, Iran, Afghanistan, Central Asia, Sri Lanka Pakistan, India, Bangladesh, Java-Indonesia, and Vietnam until it reaches China. The land routes are red, and the water routes are blue.

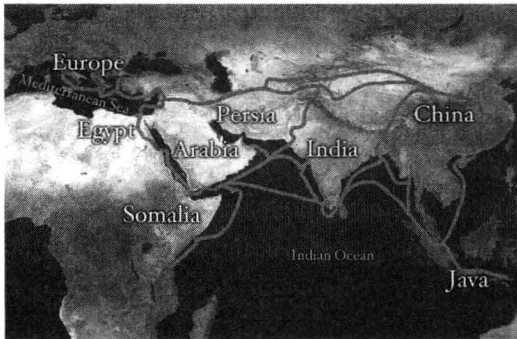


Figure 1.4 Map of the Silk Road

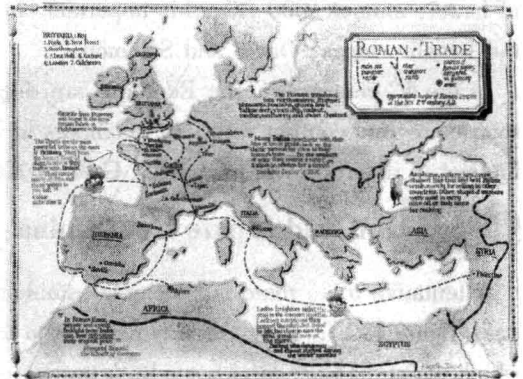


Figure 1.5 Map of Rome trade

1.2 Trade in Middle Ages: to the 15th Century AD

1.2.1 World trade: from the 1st Century AD

The Silk Road links East Asia and Western Europe at a time when each has, in its own region, a more sophisticated commercial network than ever before.

The caravan routes of the Middle East and the shipping lanes of the Mediterranean have provided the world's oldest trading system, ferrying goods to and fro between civilizations from India to Phoenicia. Now the Roman dominance of the entire Mediterranean, and of Europe as far north as Britain, gives the merchants vast new scope to the west. At the same time a maritime link, of enormous commercial potential, opens up between **India and China** (figure 1.6).

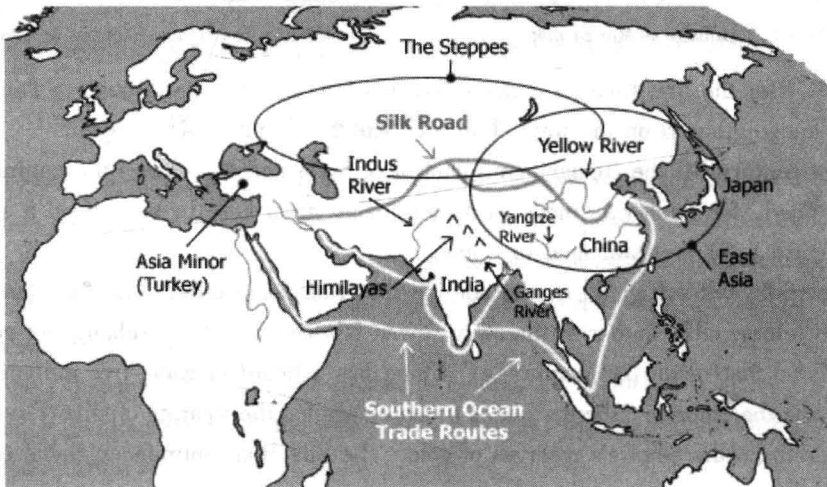


Figure 1.6 LOCATIONS: India, China, Japan, Asia Minor (Turkey), East Asia, Indus River, Yellow River, the steppes, Silk Road, southern ocean trade routes, Himalayas.

The map of the world offers no route so promising to a merchant vessel as the coastal journey from India to China. Down through the Straits of Malacca and then up through the South China



Sea, there are at all times inhabited coasts not far off to either side. It is no accident that Calcutta is now at one end of the journey, Hong Kong at the other, and Singapore in the middle.

Indian merchants are trading along this route by the 1st century AD, bringing with them the two religions, Hinduism and Buddhism, which profoundly influence this entire region.

1.2.2 The trading kingdoms of West Africa: 5th-15th c. AD

A succession of powerful kingdoms in West Africa, spanning a millennium, is unusual in that their great wealth is based on trade rather than conquest. Admittedly much warfare goes on between them, enabling the ruler of the most powerful state to demand the submission of the others. But this is only the background to the main business of controlling the caravans of merchants and camels.

These routes run north and south through the Sahara. And the most precious of the commodities moving north is **African gold**.

The first kingdom to establish full control over the southern end of the Saharan trade is **Ghana** (figure 1.7)—situated not in the modern republic of that name but in the southwest corner of what is now Mali, in the triangle formed between the Senegal River to the west and the Niger to the east.

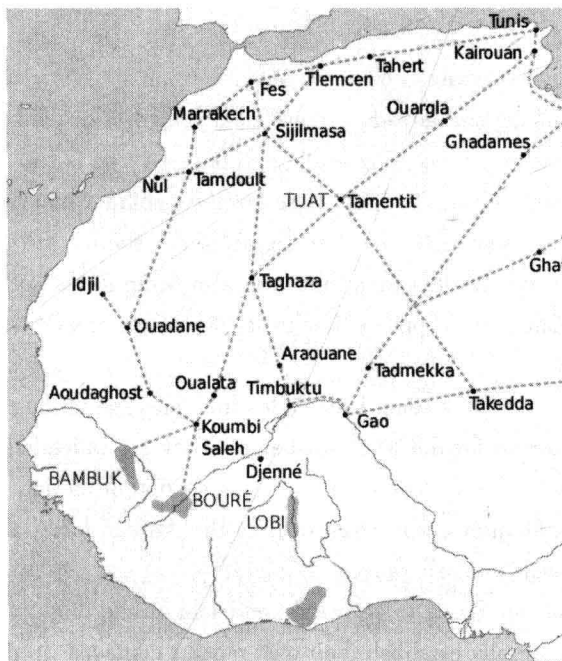


Figure 1.7 Trade routes of the Western Sahara
c. 1000 - 1500. (Goldfields are indicated by light brown shading.)

Ghana is well placed to control the traffic in gold from Bambuk, in the valley of Senegal. This is the first of the great fields from which the Africans derive their **alluvial gold** (meaning gold carried downstream in a river and deposited in silt, from which grains and nuggets can be extracted).



Like subsequent great kingdoms in this region, Ghana is at a crossroads of trade routes. The Saharan caravans link the Mediterranean markets to the north with the supply of African raw materials to the south. Meanwhile along the savannah (or open grasslands) south of the Sahara communication is easy on an east-west axis, bringing to any commercial centre the produce of the whole width of the continent.

While gold is the most valuable African commodity, **slaves** run it a close second. They come mainly from the region around **Lake Chad** (figure 1.8), where the Zaghawa tribes make a habit of raiding their neighbors and sending them up the caravan routes to Arab purchasers in the north.

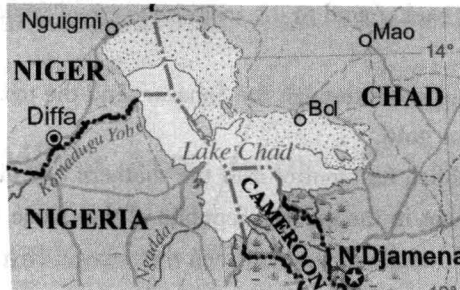


Figure 1.8 Map of Lake Chad

Other African products in demand around the Mediterranean are **ivory**, **ostrich feathers** and the **cola nut** (containing caffeine and already popular 1000 years ago as the basis for a soft drink).

The most important commodity coming south with the caravans is **salt**, essential in the diet of African agricultural communities. The salt mines of the Sahara (sometimes controlled by Berber tribes from the north, sometimes by Africans from the south) are as valuable as the gold fields of the African rivers. Traders from the north also bring **dates** and a wide range of **metal goods**—weapons, armour, and copper either in its pure form or as brass (the alloy of copper and zinc).

These various goods, travelling some 1200 miles from one end of the trade route to the other, rarely go in a single caravan for the whole distance. They are unloaded and packed on to new transport, as specialists undertake each very different section of the journey—to the edge of the desert (either from the Mediterranean coast or from the African forest and savannah) and then from oasis to oasis through the Sahara.

In the same way goods are likely to be bought and sold on the route by specialist middlemen, with whom merchants naturally establish their own regular contacts. In this way trading partnerships develop, often made up of members of the same community or even a single family.

1.2.3 Vikings in Russia: from the 9th century AD

Unusually for the Vikings, trade rather than plunder is the main reason for their penetration deep into Russia during the 9th century AD. The rivers of Eastern Europe, flowing north and south, make it surprisingly easy for goods to travel between the Baltic and the Black Sea.

One spot is particularly well-favored as a trading centre. Near Lake Ilmen the headwaters of



the **Dvina, Dnieper and Volga rivers** (figure 1.9) are close to each other. Respectively they flow into the **Baltic, the Black Sea and the Caspian** (figure 1.9). Goods ferried by water between these important trading regions converge on this area. By the early 9th century Viking tribes known as the Rus have a base on the site of Novgorod.



Figure 1.9 Dvina-The Baltic, Dnieper-The Black Sea, Volga-The Caspian

Although they are not Slavs, there is justice in the Rus giving Russia her name. Their development of trade, particularly down the Dnieper (a route which becomes known as Austrvegr, or the 'Great Waterway'), lays the foundation of the Russian nation.

In 882 a Viking leader, Oleg, moves his headquarters down the Dnieper, seizing the town of Kiev. Here, in 911, he negotiates a commercial treaty with the Byzantine Empire.

A Viking successor of Oleg's in Kiev, two generations later, describes how this first Russian