

政治经济学第十三讲

技术进步与利润率下降趋势

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马克思关于利润率下降的理论

利润率的分布与变化趋势

置盐定理及争论

习题课：第一次作业

马克思关于利润率下降的理论

$$r = \frac{m}{c+v} = \frac{e}{k+1}$$

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- 资本积累
- 资本有机构成提高
- 一般利润率的下降与利润量的增加

“一般利润率日益下降的趋势，只是劳动的社会生产力的日益发展在资本主义生产方式下所特有的表现。”^[1] 第 237 页

反作用的因素

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1. 剩余价值率提高

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2. 不变资本的贬值

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2. 不变资本的贬值

...

后果

一般利润率因生产力发展引起的资本有机构成提高而趋于下降
引
发、激化资本主义内部矛盾

1. 资本主义生产扩大与价值增殖的矛盾
2. 资本过剩与人口过剩并存
3. 稳定性^[2]

...

生产扩大与价值增殖：手段与目的

- 囚徒困境

- 囚徒困境
- “资本主义生产的真正限制是资本自身”^[1] 第 278 页

以广大生产者群众的被剥夺和贫穷化为基础的资本价值的保存和增殖，只能在一定限制内运动，这些限制不断与资本为它自身的目的而必须使用的并旨在无限制地增加生产，为生产而生产，无条件地发展劳动社会生产力的生产方法相矛盾。手段——社会生产力的无条件的发展——不断地和现有资本的增殖这个有限的目的发生冲突。^[1] 第 278-279 页

资本过剩与人口过剩：宏观条件与主观条件

- 生产社会化程度提高使最低生产规模扩大

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“所谓资本过剩，实质上总是指利润率的下降不能由利润量的增加来抵消的那种资本——新形成的资本嫩芽总是这样——的过剩。”^[1] 第 279 页

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Review of Radical Political Economics

Vol. 25(1)27-61(1993)

Why Does Profitability Matter? Profitability and Stability in the U.S. Economy since the 1950s

*Gérard Duménil
Dominique Lévy*

1. Profitability and Reaction by Quantities. A diminished profitability induces firms to tighter management of their financial resources, trade credit and inventories. Such pressure implies stronger reactions to quantity signals.
2. Reaction by Quantities and Stability. The intuition behind the destabilizing effect is that firms' reactions determine the occurrence of overheatings or recessions because such phenomena are nothing other than cumulative movements upward or downward of output. For example, in a recession, a diminished level of activity will progressively pervade the entire economic system, at a rate which depends on the sensitivity of firms to stockpiling.

- 短期金融资源

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利润率与稳定性

- 短期金融资源
- 对非均衡的反应强度

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利润率的分布与变化趋势

现实中的利润率

1. 分布：是否平均化？

现实中的利润率

1. 分布：是否平均化？
2. 走势：平均利润率是否有下降趋势？

利润率分布：拉普拉斯分布

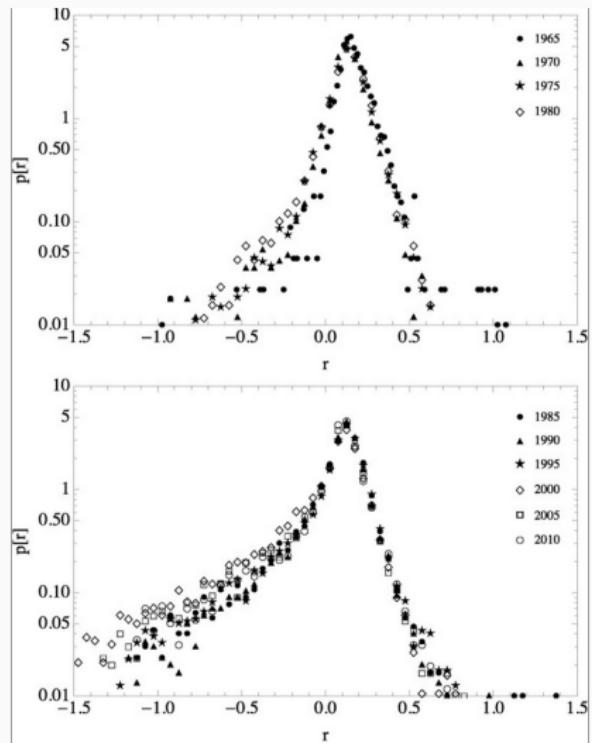


Figure 1: 利润率分布 (美国 1965-2010)^[3]

利润率分布：拉普拉斯分布

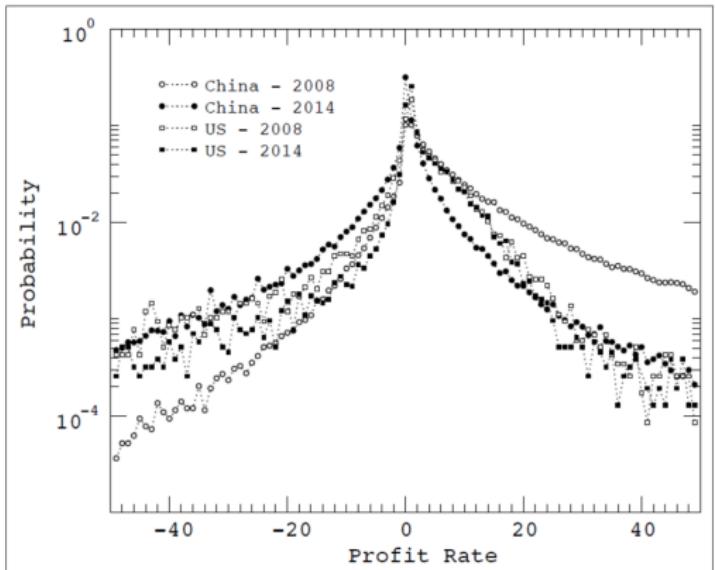


Figure 6. Relative frequency (probability) distribution of rate of profits (%) (USA and China, 2008 and 2014).

Source: ORBIS, authors' elaboration.

Figure 1: 利润率分布（中美 2008, 2014）^[4]

平均利润率走势

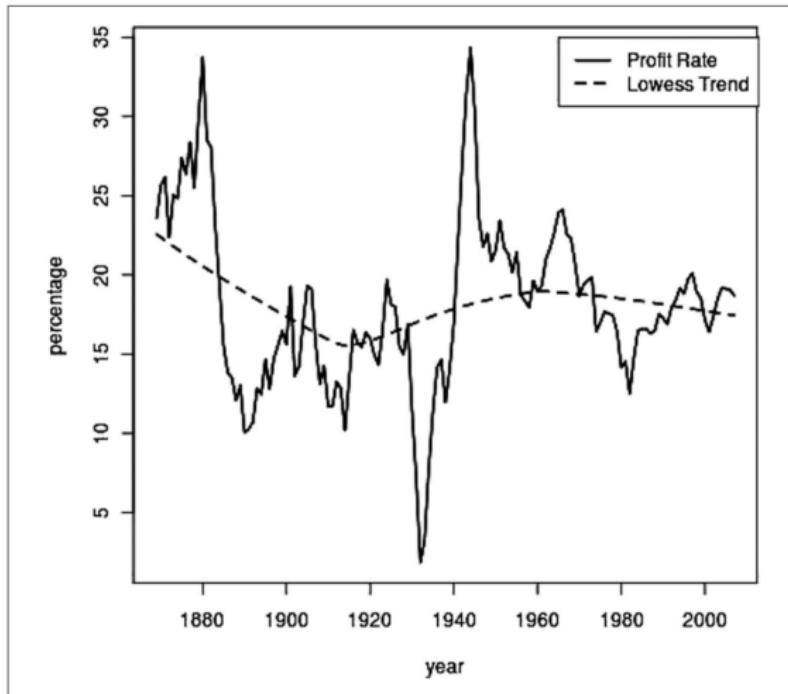


Figure 1. Long Waves in the U.S. Profit Rate, 1869-2007

Figure 2: 美国平均利润率，1869-2007^[5]

平均利润率走势

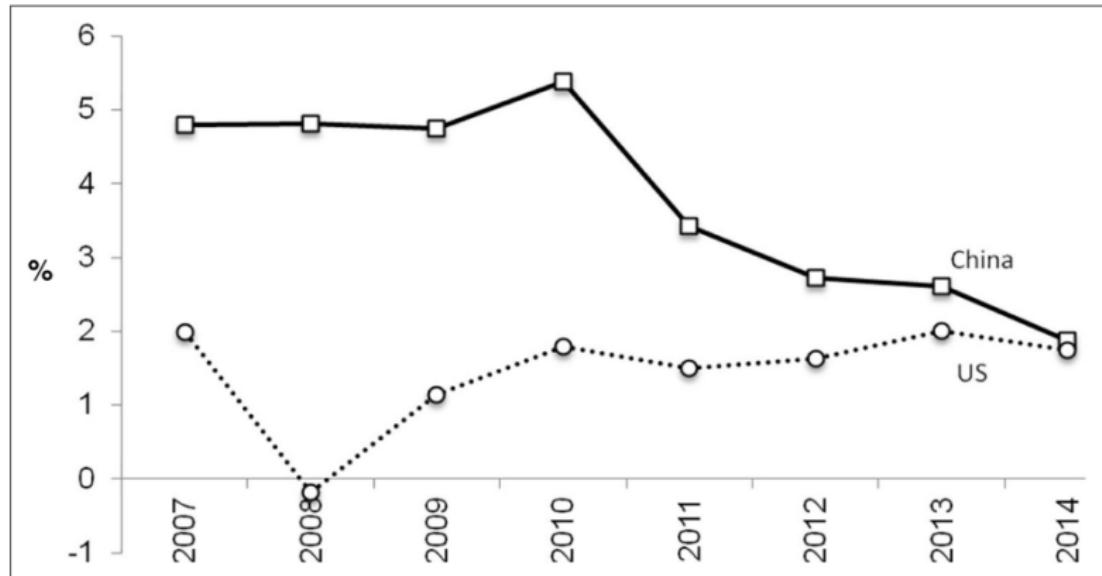


Figure 1. Average rate of profit—return on assets using Net Income—China and USA (2007–2014).

Source: ORBIS, authors' elaboration.

Figure 2: 中美平均利润率，2007-2014^[4]

Journal of Economic Perspectives—Volume 29, Number 1—Winter 2015—Pages 3–28



Figure 3: MIT 经济学家 Acemoglu (1967-)

The Rise and Decline of General Laws of Capitalism

Daron Acemoglu and James A. Robinson

In short, Marx's general laws, like those before him, failed because they relied on a conception of the economy that did not recognize the endogenous evolution of technology and the role of changing economic and political institutions, shaping both technology and factor prices. In fact, even Marx's emphasis on the defining role of the forces of production, so emblematic of his approach, was often inadequate not only as the engine of history, but also as a description of history, including his paradigmatic example of hand-mills and steam-mills. For example, Bloch (1967)

Figure 4: 马克思忽视了技术的内生性和制度? [6]

置盐定理及争论

置盐定理 (Okishio's Theorem)

1. 技术变化: $(A, \ell) \Rightarrow (A', \ell')$

$$\begin{bmatrix} a_{1j} \\ \vdots \\ a_{nj} \end{bmatrix} \oplus \ell_j \quad \Rightarrow \quad \begin{bmatrix} a'_{1j} \\ \vdots \\ a'_{nj} \end{bmatrix} \oplus \ell'_j$$

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2. 实际工资 b 不变

3. 考虑平均利润率和生产价格

$$p = (1 + \pi)p(A + b\ell) \quad (1)$$

$$p^* = (1 + \pi^*)p^*(A' + b\ell') \quad (2)$$

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$$p^* = (1 + \pi^*)p^*(A' + b\ell') \quad (2)$$

4. 若新技术节约成本 (cost-reducing)

$$\sum_i p_i a'_{ij} + w\ell'_j < \sum_i p_i a_{ij} + w\ell_j$$

则有

$$\pi^* > \pi$$

置盐定理与马克思“利润率下降趋势”理论矛盾吗？

置盐定理与马克思“利润率下降趋势”理论矛盾吗？

† 技术变化以后如果实际工资不变，利润率上升

布雷默认理与马克思“利润率下降趋势”理论矛盾吗？

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- + 这是由工资上升挤压造成的，无关资本有机构成
- 技术变化以后，如果工资利润比不变，利润率下降^[7]

习题课：第一次作业

学习任务

预习第十四讲：商业资本与国际间不平等交换

徐禾. 政治经济学概论. chinese. 2017, 第八章

阅读下列材料并撰写读书笔记

沃尔特·罗德尼. 欧洲如何使非洲欠发达. chinese. 亚非译丛 ISBN: 9787509793312. 2017, 第六章

问答

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