

# Study on Family Exit-entry Certification in Bamboo Slips of the Han Dynasty in the Northwest China

Beibei Han

Northwest Normal University  
Lanzhou, China 730070

**Abstract**—The family exit-entry certification in the Bamboo Slips of the Han Dynasty in the northwest is used by the families of the soldiers in the northwestern side of the Han Dynasty to enter and exit the checkpoint. The elements of the family exit-entry certification are the official residence, position, name, date, the status of the family members, age and the cattle and carriages they carry. According to the bamboo slips, the soldiers were in the position of beacon tower under the leadership of the Tuota Houguan. Tuota Houguan is under the jurisdiction of Jianshui Duwei, the beacon tower is located in the north of the Jianshuijin checkpoint. Zhaowu Country and Lude Country are in the southeast of Jinguan checkpoint. The family members of the soldiers must use the family certification to exit and entry Jinguan checkpoint to Tuota Houguan. If their conditions confirm to the rules, they could pass the checkpoint. Otherwise, they couldn't pass the checkpoint. The family members of the soldiers could go to Houguan to visit their relatives by family exit-entry certification, which was conducive to the soldiers in the northwest fortress under harsh natural conditions to secure the northwest frontier of the motherland. At the same time, it embodied the humanistic care of the Han government for the officers and their families, and was conducive to the smooth progress of the strategy of the Han Empire's frontier fortress.

**Keywords**—Bamboo Slips of Han Dynasty; Fu; family exit-entry certification; Houguan

## I. INTRODUCTION

In 1930, more than 10,000 Han bamboo slips were unearthed in Juyan by the Northwest Scientific Investigation Mission of China and Sweden. From 1972 to 1974, the cultural relics department of Gansu Province made great achievements in the ruins of the fourth tower, Pochengzi, Jiaqu Houguan and Jianshui Jinguan. Besides the old and new Juyan Bamboo Slips of Han Dynasty, there were also Dunhuang Xuanquan Bamboo Slips and Jianshui Jinguan Bamboo Slips, which became an important part of the Bamboo Slips of Han Dynasty in the Northwest.

At present, the main research results about "Fu" and "family exit-entry certification" in Qin and Han Dynasties are as follows. Li Junming's "Exit-entry Certification, Biographies and Exit-entry Records in Han Bamboo Slips", [1] divides the "Fu" into two categories: one is "exit-entry certification of officials' families"; the other is temporary exit-entry certificates with confidentiality, and analyses the similarities between the two types of "Fu" in the form of

bamboo slips. Dating Xiu's "Fu and Zhi of Han Dynasty" [2] analyses three types of "Fu" in Juyan bamboo slips of Han Dynasty, including "family certification of entry and exit", and divides them into public and private categories according to their contents. Huang Yanping's "Study on family certification of exit and entry in the frontier of Han Dynasty — Taking the Northwest Han Bamboo Slips as an example" [3] analyses the family exit-entry certification, the reasons for not seeing the family certification of exit and entry of ordinary soldiers, and the structural problems of the border families in the middle and late Western Han Dynasty reflected by family exit-entry certification. On the basis of the above-mentioned articles and from the perspective of document administration, this paper tries to analyze the relevant problems of family exit-entry certification in the Hexi of Han Dynasty, in order to have a glimpse of the usage of family exit-entry certification in Hexi of Han Dynasty. If there is anything improper, anyone can correct it.

## II. "FU" AND FAMILY EXIT-ENTRY CERTIFICATION IN BAMBOO SLIPS OF HAN DYNASTY

### A. Fu

☑金关为出入六寸符 ☑从事 《合校》11·8 [4]

Jinguan checkpoint adopted the six-inch "Fu".

☑出入六寸符券 齿百 从一至☑☑☑卅 《合校》11 26

This entry-exit certification is a six-inch character with a hundred teeth engraved on it, ranging from one to thirty...

始元七年闰月甲辰 居延与金关为出入六寸符券 齿百 从第一至千左居☑☑☑☑☑合以从事 ●第十八 《合校》65·9

On the first day of the first lunar month of the seventh year of Emperor Zhao of the Han Dynasty (80 B.C.), the exit-entry certification of Juyan and Jinguan areas were six inches, with 100 teeth engraved on them. Starting from the first tooth, the teeth were on the left side. If the serrated teeth could be closed to indicate conformity, they would be released.

始元七年闰月甲辰 居延与金关为出入六寸符券 齿百 从第一至千左居官 右移金关 符合以从事 ●第八 《合校》65·7

On the first day of the seventh year of Emperor Zhaodi of Han Dynasty (80 B.C.) on the first day of the first lunar month, the entrance and exit marks of Juyan area and Jinguan area were six inches, with 100 teeth engraved on

them. Starting from the first tooth, the teeth were on the left side. They moved from Juyan area to Jinguan area. If the serrated teeth could fit together, they would be released.

In "Shuowen Jiezi", it says, "Fu" is a symbol of information. In the Han Dynasty, six inches long bamboo was used to make a "Fu". If half of the "Fu" is identical with the other half, it shows conformity. In "Shiji · Fengchan Shu", "Qin Dynasty takes October in winter as the beginning of every year. They advocate black, and weights, measures and so on are named after six." Zhang Yan commented: "Water is in the north." The color is black, and the water ends with six, so the length of six inches is the length of "Fu", and the six steps is the length of the ruler." "Shiji · Biography of First Emperor of Qin Dynasty" also notes: "it always takes the six as the units of time, and the things used by the "Fu" and law are six inches long." [5]

"The Rites of Zhou · Hostage" says: "the 'Fu' with teeth, originates from the evidence used to investigate the market." Zheng commented: "Ji likes the investigation. A Text comes from a market voucher for trading, which has two lines written on both sides of the voucher with letters inscribed on both sides. Duan Yucai explained to the "quan": "Each side holds a wooden slip and carves its teeth on it. If the teeth of the two wooden slips can match, it is correct, so carving marks are left and right." "Yupian" writes: "Fu refers to the Fujie used in military diplomacy, etc. Fujie is divided into two parts, each side holding one side as a relic." The carved teeth of the "Fuquan" are used for matching, that is to say, "matching for doing" as mentioned in the simplified text. At the same time, the rugged teeth also play a role in distinguishing between left and right. According to "left residing official, right moving to Jinguan" in the bamboo slips, people can see that the exit-entry certification of the bamboo slips of Northwest Han Dynasty is left-handed.

The above mentioned "exit-entry certifications are signed without signature, indicating that they are not only for long-term use by one person, but are issued to one person when needed, and can be reused after they are used up and returned." [6] And the system of exit-entry certification is also found in "Hanguan Jiegu". It writes: "Everyone who lives in the palace has a registered permanent residence and has this 'Fu'. This 'Fu' is made of wood and is two inches long. According to their official position, Latte Seal divides the "Fu" into two halves. For those who want to enter or leave the palace gate, the gatekeeper checks their household registration and the fused teeth. If the fused teeth match, they are released." According to Mr. Li Junming's research, there are four types of "Fu" in the Northwest Han bamboo slips: exit-entry certification, officials and family exit-entry certification, daily records and Jinghou character. Among them, the copy of the official's family exit-entry certification is as follows:

In the sixth day of the eleventh month of the fourth year of emperor yongguang's reign (40 BC), his wife, Sun Diqing, is 21 years old in the Wansuli of Zhaowu County.

Wang Nv, the youngest daughter, is 3 years old.

It is the "Fu" of the youngest daughter who is the eldest grandson of Tuota Hou Chang Yanshou. The name is Er, and 9 years old. They all have dark skin (see "He Xiao" 29.1).

## B. Family Exit-entry Certification

(1) 甘露元年十一月壬辰朔戊午 广地士吏护众兼行塞尉事敢言之  
谨移家属出入金关名籍一编 敢言之 73EJT37:96[7]

On November 27, the first year of Emperor Xuan of the Han Dynasty (53 B.C.), a soldier named Huzhong in Guangdi, said to his superiors that he was going to submit a name book, which was about the name of the family members of the officials who entered and exited the Jinguan checkpoint.

(2) 建平元年正月甲子朔戊戌 北部候长宣 敢言之 谨移部吏家属  
符 谒移肩水金关 出入如律令 敢言之 73EJT37:152

On the eighth day of 1898, the first year of Emperor Ai of the Han Dynasty (6 B.C.), the Northern Houzhang, named Xuan, reported to his superiors that he had moved the family exit-entry certification of the officials to Jianshui Jinguan and let the families of the officials in Jianshui Jinguan enter and leave as usual.

The above two pieces of bamboo slips are from the same exploration site of Jinguan site in Jianshui, both of which have clear chronology and belong to the written documents. Example (1) of the bamboo slips recorded that in the first year of Emperor Xuan of the Han Dynasty (53 B.C.), a soldier named Huzhong in Guangdi, said to his superiors that he was going to submit a name book of family members entering and leaving the Jinguan checkpoint. Example (1) of the bamboo slips recorded that in the first year of Emperor Ai of the Han Dynasty (6 B.C.), Xuan, the northern Houzhang submitted a family exit-entry certification to the Jinguan of Jianshui. The bamboo slips should be family exit-entry certification submitted to Jianshui Houzhang by the Northern Houzhang. Subordinates should report to their superiors that the family members listed in the bamboo slips correspond to the actual situation of entry and exit, that is, "exit-entry laws".

(3) 橐他置佐昭武便处里审长 妻大女至 年卅五 牛车一两  
建平二年家属符 子小女侯 年四 用牛四头 子小男小 年一岁  
73EJT37:175

In the second year of Jianping Emperor (5 B.C.), the family exit-entry certification is used by the Shenzhang of of Bianchuli, Zhaowu County. His wife is 35 years old. The youngest daughter is 4 years old. The youngest son is one year old. There is a bullock cart and four cows at home.

(4) 子男临 年十六 建平二年家属符 子女召年廿子女青 年二岁  
子女骄 年十三 子妇君阳 年廿三 子女君来 年八 子男钦 年三岁  
73EJT37:755

In the second year of Jianping Emperor (5 B.C.), the family exit-entry certification is used by the son. He is 16 years old. Zhao, one of the daughters, is 20 years old. Qing, one of the daughters, is 20 years old. Jiao, one of the daughters, is 20 years old. Junyang, his wife, is 23 years old. Junlai, one of the daughters, is 8 years old. Qin, one of his sons, is 3 years old.

(5) 彙他…… 建平四年家属符 73EJT37:1112

In the fourth year of Jianping Emperor (3 B.C.), there is ... in family exit-entry certification.

The above three cases are all from Exploration Site 37 of Jianshui Jinguan, and all the records are the family exit-entry certification during the period of Emperor Aidi of Han Dynasty. In Han bamboo slips, sons and daughters are called "children", while younger brothers and sisters are "younger brothers" (弟). In "Etiquette · Sangfu", "Fathers name their children three months after their birth." Zheng Xuan commented: "The word 'children' (子) can refer to both son and daughter." [8] In "Mencius · Wanzhang", "Mizi's wife and Zilu's wife are brothers. They are women, and called brothers (弟)." [9] In "Shiji · Guan Cai Shijia", Cai Hou is angry, and married his sisters to other people." In "Suo Yin", "Brother refers to female brother." The bamboo slips has different title for the female and male in the different ages. Generally speaking, those over the 15 years old are danan (older man) and danv (older women); those between 7 years old and 14 years old are shinan and shinv; and those between 1 year old and 6 years old are weishinan and weishinv. Among the three bamboo slips, danv include Zhi (35 years old) and Zhao (20 years old); shinv include Junlai (8 years old) and Jiao (13 years old); weishinv include Hou (4 years old), Qing (2 years old) and Qin (3 years old); danan include Lin (16 years old); and weishinan include Xiao (1 year old). According to Yongtian Yingzheng's research, "the distinction of this age group is consistent with the age distinction of tax and oral tax at that time."

(6) 彙他沙上隧长鲁钦 妻昭武便处里鲁请年十九 建平元年正月家属符 73EJT37:754

In the first month of the first year of Emperor Jianping (6 B.C.), family exit-entry certification are inscribed with Luqin, the Tuota Shangshang Suizhang, and Lu Qin's wife, Lu Jianping, who is 19 years old, in the Bianchuli of Zhaowu County.

(7) 建平四年正月家属符 73EJT37:625

In the first month of the fourth year of Jianping Emperor (3 B.C.), there is ... in family exit-entry certification.

(8) 妻大女麟得安成里陈自为年卅四 彙他收降隧长陈建 子小男恽年九岁 建平二年正月家属符 子小女护 年 车一两 73EJT37:756

In the first month of the first year of Emperor Jianping (6 B.C.), family exit-entry certification are inscribed with Chen Jian, the Tuota Shoujiang Suizhang, and Chen Jian's wife, Chen Ziwei, who is 44 years old, in the Anchengli of Lude County. Yun, the little son, is 9 years old. Hu, the youngest daughter, has unknown age, and a car at home.

(9) 彙他駁南亭长孙章 妻大女麟得寿贵里孙迁年廿五 阳朔三年正月家属符 子小男自当年二 皆黑色 73EJT37:1007

In the first month of the third year of Emperor Yangshuo (22 B.C.), family exit-entry certification are inscribed with Sun Zhang, the Tuota Jiaonan Tingzhang, and Sun Zhang's wife, Sun Qian, who is 25 years old, in the Shouguili of Lude County. Zidang, the young son, is 2 years old. And his skin is black.

(10) 母居延屏庭里徐都君年五十 彙他候史氏池千金里张彭 男弟麟得当富里张恽年廿 车二两 建平四年正月家属符男弟临年十八 用牛四头…… 73EJT37:1058

In the first month of the fourth year of Emperor Jianping (3 B.C.), family exit-entry certification are inscribed with Zhang Peng who comes from Qianjinli of Dichi Country, the Tuota Shoujiang Suizhang, and Zhang Peng's mother, Xu Dujun, who is 50 years old, in the Tingli of Yanping County. Zhang Yun, one of the brothers, is 20 years old. And he is from Dangfuli, Lude County. Lin, another brother, is 18 years old, and has two cars and four cattle.

The above five cases are all from the same exploration site. Five of them all record the "Fu" in the period of Emperor Aidi of the Han Dynasty. Example (10) is the third year of Emperor Cheng of the Han Dynasty, that is, 22 B.C. The common feature of the above five cases is that the time is "the first month", and the style of the documents is the same. According to "History of the Han Dynasty · Geographic Records", Zhaowu County and Lude County are all counties under the jurisdiction of Zhangye Town. The origins of the official's family members are all from Zhaowu County and Lude County. Zhaowu County is located in the southeast of Jinguan. In Example (6), the family members of Luqin, Tuota Shashang Suizhang, must enter and exit Jinguan when they go to Tuota Houguan. Therefore, family member must use family exit-entry certification when passing the checkpoint.

(11) 妻大女麟得常乐里宋待君年廿二 彙他通道亭长宋捐之 子小男自当年九 永始四年家属符尽十二月 子小女廉年六 73EJT37:1059

In the twelfth month of the fourth year of Yongshi period (13 B.C.), family exit-entry certification are inscribed with Song Juanzhi, the Tuota Tongdao Tingzhang, and Song Juanzhi's wife, Song Daijun, who is 22 years old, in the Changleli of Lude County. Zidang, the little son, is 9 years old. Lian, the little daughter, is 4 years old.

(12) 建平四年正月家属符出入尽十二月 男 年二 葆弟昭武宜春里辛昌年廿四岁 73EJT37:177

From the first month to the twelfth month the fourth year of Emperor Jianping (3 B.C.), the family exit-entry certification is used by the unknown man aged 2 years old. Xinchang, the little brother, is 24 years old, and is from Yichunli of Zhaowu County.

(13) 建平四年正月家属出入尽十二月符 年十三 用马二匹 常年五岁 73EJT37:142

From the first month to the twelfth month the fourth year of Emperor Jianping (3 B.C.), the family exit-entry certification is used by the unknown man aged 13 years old. Chang is 5 years old. He has 2 horses at home.

(14) 彙他 望隧长 弟大男 年 牛二头 建平四年正月家属出入尽十二月符 弟妇始年廿 车一两 73EJT37:176

From the first month to the twelfth month the fourth year of Emperor Jianping (3 B.C.), the family exit-entry certification is used by the Tuota Suizhang. The name and age of his brother are unknown. Shi, the wife of the brother, is 20 years old. She has 2 cattle and 1 car.



Example (11) occurred in the fourth year of Emperor Chengdi of the Han Dynasty, that is, 13 B.C. The other three bamboo slips were all built in the fourth year of the period of Emperor Aidi of Han Dynasty, that is, 3 B.C. The four cases mentioned above are classified into one group because of their similar style of writing. The above examples show that the contents of family exit-entry certification include official's office site, position, name, date, family members' native place, age and the cart they carry. It can be seen that the exit-entry date is one of the elements of family exit-entry certification.

(15) 蒙他曲河亭长昭武宜春里 妻大女阳年廿三 车牛一头  
陆永家属符 子小女顷间年三岁 用牛二头 73EJT37:761

In Lu Yong's family exit-entry certification, the Tuota Quhe Tingzhang, who come from Yichunli of Zhaowu Country, the family exit-entry certification is used by wife Yang, aged 23. Qinglv, the little daughter, is 3 years old. There is a bullock cart and two cows at home.

(16) 五凤三年八月乙巳朔丁卯 蒙他塞尉幸 敢言之 遣 家属  
私使饯得 唯官为入出符 敢言之 73EJT37:1149

In August of the third year of Wufeng (55 B.C.), Xing, Tuota Saiwei, asked his superiors to send his family members to Lude County to do some private affairs. Instead of using family exit-entry certification, official credentials were used as the evidence of entry and exit.

(17) 匱吏家属符别 (B面“匱蒙他吏家属符真副”) 73EJC:310A

The family exit-entry certification of an official (A copy of family exit-entry certification of an official on the B side)

Example (15) recorded the information of the wife, daughter and cattle of Tuota Quhe Tingzhang, but did not have the date of the family exit-entry certification. Example (16) recorded that in the third year of Emperor Xuan of the Han Dynasty (55 B.C.), Xing, Tuota Saiwei, asked his superiors to send his family members to Lude Country, Zhangye Town, Jinguan checkpoint to deal with some things. The writing style is official. Example (17) is fragment. The meaning of the text is not clear, but the A and B sides of the text clearly bear the words "family exit-entry certification", which belongs to family exit-entry certification.

According to the above bamboo slips, the officials in the family exit-entry certifications are as follows: Shenzhang of Tuota Zhizuo, Bianchuli of Zhaowu Country; Lu Qin, Tuota Shashang Suizhang; Chen Jian, Tuota Shoujiang Suizhang; Sun Zhang, Tuota Jiaonan Tingzhang; Zhang Peng, Tuota Houshi, Qianjinli of Dichi; Song Juazhi, Tuota Tongdao Tingzhang; Yu Xian, Tuota Nanbu Houshi; Wang Bing, Tuota Shinan Tingzhang; Lu Yong, Tuota Quhe Tingzhang, Yichunli of Zhaowu Country. No matter where the above officials serve, they all belong to Tuota Houguan, and Tuota Houguan is under the jurisdiction of Jianshui Duwei, while Tuota Houguan belongs to Jianshui Jinguan, located in the north of Jianshui. Zhaowu County or Lude County is located in the southeast of Jinguan, and the family members of officials must use family exit-entry certification to enter and exit Jinguan when they go to Tuota Houguan.

Jianshui Jinguan is a checkpoint under the jurisdiction of Jianshui Duwei of Zhangye County in the Han Dynasty, and it is one of the northwest border gates in the Han Dynasty. Jianshui Jinguan in Han Dynasty was located on the East Bank of Heihe River, 152 kilometers northeast of Jinta County, Gansu Province, 7 kilometers away from Dongdawan City. "Jinguan" means "being impregnable". Its geographical position is particularly important. It is an important barrier for the Han government to resist the Huns. It is a necessary place for people to enter Juyan area. It is also the throat for people to enter and exit Hexi Corridor and communicate between North and south. In such an important Guanjin fortress, Jianshui Duweifu must check in time and in detail the family members who enter and leave the checkpoint. If their conditions confirm to the rules, they could pass the checkpoint. On the contrary, they are detained for further investigation.

### III. FAMILY MEMBERS OF OFFICIALS VISIT RELATIVES BY FAMILY EXIT-ENTRY CERTIFICATION

The rank of Houguan is the same as that of the county. The Zhici of Houguan Zhangguanhou is 600 dan, which is the same as that of the county. "Han Shu · Bai Guan Gong Qing Biao" contains: "County magistrates are all officials of the Qin Dynasty, governing the county where they are located. If more than 10,000 households are under the jurisdiction of the county magistrate, the salary ranges from 600 to 1000 dan. If less than 10,000 households, they are called county magistrates, and their salaries range from 500 to 300 dan." [12] For the discussion of the size of Houguan, Mr. Chen Mengjia believes that "Hou refers to Houzhang and Suizhang in the Houguansai." [13] According to the study of Japanese scholar Yongtian Yingzheng, "Houguan are not only the living center of the public and private economy in the border military area, but also a military base." [14] The family members of the soldiers go to visit the relatives in Houguan, which is the manifestation of humane concern for the soldier in the northwest fortress by Han government. This is conducive to defending the northwest frontier of the motherland by securing the officers in the northwest frontier fortress under harsh natural conditions.

### IV. CONCLUSION

The family exit-entry certification in Han bamboo slips are the "Fu" used by the family members of the soldier in the northwest of Han Dynasty. The family members in the family exit-entry certification contain the wife, children, parents, brothers and other direct relatives of the soldiers; the contents of family exit-entry certification include the place, position, name, data, origin, age, and cattle they carry, of which the data is the most important element of family exit-entry certification.

No matter where the officials serve, they all belong to Tuota Houguan, and Tuota Houguan is under the jurisdiction of Jianshui Duwei, while Tuota Houguan belongs to Jianshui Jinguan, located in the north of Jianshui. Zhaowu County or Lude County is located in the southeast of Jinguan, and the family members must use family exit-entry certification to

enter and exit Jinguan when they go to Tuota Houguan. Considering the importance of Jinguan, Jianshui Duweifu needs to check the family members who exit and entry the checkpoint in details and in time. If their conditions confirm to the rules, they could pass the checkpoint. On the contrary, they are detained for further investigation. The family members could go to Houguan to visit their relatives by family exit-entry certification. It was conducive to the soldiers in the northwest fortress under harsh natural conditions to secure the northwest frontier of the motherland. It embodied the humanistic care for the officers and their families by Han government, and was conducive to the smooth progress of the strategy of the Han Empire's frontier fortress.

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