附件

主办券商执业质量月度评价结果（2016年4月）

一、综合点值[[1]](#endnote-1)

| **序号** | **主办券商** | **负面行为记录数量** | | | | **业务量** | | | | **业务点值计算系数(b)** | | | | [**综合点值**](#RANGE!_edn1) | | | | |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **推荐挂牌** | **挂牌后督导** | **交易管理** | **综合管理** | **当期推荐挂牌企业家数** | **持续督导企业家数当期平均值** | **做市企业家数当期平均值** | **持续督导企业家数当期平均值** | **推荐**  **挂牌**  **(b1)** | **挂牌后督导**  **(b2)** | **交易**  **管理**  **(b3)** | **综合**  **管理**  **(b4)** | **推荐**  **挂牌**  **(b1\*30)** | **挂牌后督导**  **(b2\*30)** | **交易**  **管理**  **(b3\*30)** | **综合**  **管理**  **(b4\*10)** | **合计** |
| 1 | 东方证券 | 0.00 | 2.00 | 0.00 | 0.00 | 1.00 | 59.00 | 137.50 | 59.00 | 1.00 | 0.85 | 1.00 | 1.00 | 30.00 | 25.50 | 30.00 | 10.00 | 95.50 |
| 2 | 华鑫证券 | 0.00 | 0.00 | 0.00 | 0.00 | 3.00 | 23.50 | 42.50 | 23.50 | 1.00 | 1.00 | 1.00 | 1.00 | 30.00 | 30.00 | 30.00 | 10.00 | 100.00 |
| 3 | 东北证券 | 6.00 | 2.00 | 0.00 | 2.00 | 14.00 | 184.50 | 80.00 | 184.50 | 0.90 | 0.90 | 1.00 | 0.80 | 27.00 | 27.00 | 30.00 | 8.00 | 92.00 |
| 4 | 德邦证券 | 0.00 | 0.00 | 0.00 | 1.00 | 3.00 | 28.50 | 28.50 | 28.50 | 1.00 | 1.00 | 1.00 | 0.70 | 30.00 | 30.00 | 30.00 | 7.00 | 97.00 |
| 5 | 广发证券 | 2.00 | 5.00 | 0.00 | 1.00 | 9.00 | 238.50 | 170.00 | 238.50 | 0.90 | 0.90 | 1.00 | 0.85 | 27.00 | 27.00 | 30.00 | 8.50 | 92.50 |
| 6 | 中银国际 | 0.00 | 3.00 | 0.00 | 0.00 | 3.00 | 71.00 | 70.50 | 71.00 | 1.00 | 0.85 | 1.00 | 1.00 | 30.00 | 25.50 | 30.00 | 10.00 | 95.50 |
| 7 | 红塔证券 | 0.00 | 0.00 | 0.00 | 1.00 | 1.00 | 9.00 | 24.00 | 9.00 | 1.00 | 1.00 | 1.00 | 0.60 | 30.00 | 30.00 | 30.00 | 6.00 | 96.00 |
| 8 | 华西证券 | 0.00 | 1.00 | 0.00 | 0.00 | 3.00 | 32.50 | 1.00 | 32.50 | 1.00 | 0.85 | 1.00 | 1.00 | 30.00 | 25.50 | 30.00 | 10.00 | 95.50 |
| 9 | 万联证券 | 2.00 | 0.00 | 0.00 | 0.00 | 4.00 | 33.00 | 153.00 | 33.00 | 0.85 | 1.00 | 1.00 | 1.00 | 25.50 | 30.00 | 30.00 | 10.00 | 95.50 |
| 10 | 江海证券 | 3.00 | 0.00 | 0.00 | 0.00 | 3.00 | 28.50 | 25.00 | 28.50 | 0.85 | 1.00 | 1.00 | 1.00 | 25.50 | 30.00 | 30.00 | 10.00 | 95.50 |
| 11 | 新时代证券 | 2.00 | 2.00 | 0.00 | 0.00 | 6.00 | 55.50 | 31.50 | 55.50 | 0.90 | 0.85 | 1.00 | 1.00 | 27.00 | 25.50 | 30.00 | 10.00 | 92.50 |
| 12 | 信达证券 | 1.00 | 0.00 | 0.00 | 0.00 | 1.00 | 36.50 | 53.50 | 36.50 | 0.85 | 1.00 | 1.00 | 1.00 | 25.50 | 30.00 | 30.00 | 10.00 | 95.50 |
| 13 | 日信证券 | 8.00 | 0.00 | 0.00 | 0.00 | 9.00 | 29.50 | 13.00 | 29.50 | 0.85 | 1.00 | 1.00 | 1.00 | 25.50 | 30.00 | 30.00 | 10.00 | 95.50 |
| 14 | 银河证券 | 0.00 | 4.00 | 0.00 | 0.00 | 1.00 | 64.00 | 58.00 | 64.00 | 1.00 | 0.80 | 1.00 | 1.00 | 30.00 | 24.00 | 30.00 | 10.00 | 94.00 |
| 15 | 世纪证券 | 1.00 | 0.00 | 0.00 | 0.00 | 1.00 | 7.50 | 100.50 | 7.50 | 0.85 | 1.00 | 1.00 | 1.00 | 25.50 | 30.00 | 30.00 | 10.00 | 95.50 |
| 16 | 南京证券 | 0.00 | 4.00 | 0.00 | 0.00 | 1.00 | 59.00 | 64.50 | 59.00 | 1.00 | 0.80 | 1.00 | 1.00 | 30.00 | 24.00 | 30.00 | 10.00 | 94.00 |
| 17 | 中泰证券 | 11.00 | 5.00 | 0.00 | 4.00 | 15.00 | 302.50 | 284.50 | 302.50 | 0.85 | 0.90 | 1.00 | 0.80 | 25.50 | 27.00 | 30.00 | 8.00 | 90.50 |
| 18 | 中航证券 | 1.00 | 0.00 | 0.00 | 1.00 | 5.00 | 12.50 | 6.00 | 12.50 | 0.90 | 1.00 | 1.00 | 0.70 | 27.00 | 30.00 | 30.00 | 7.00 | 94.00 |
| 19 | 中信证券 | 4.00 | 2.00 | 0.00 | 1.00 | 7.00 | 124.00 | 153.00 | 124.00 | 0.85 | 0.90 | 1.00 | 0.80 | 25.50 | 27.00 | 30.00 | 8.00 | 90.50 |
| 20 | 五矿证券 | 0.00 | 1.00 | 0.00 | 0.00 | 3.00 | 12.50 | 2.50 | 12.50 | 1.00 | 0.80 | 1.00 | 1.00 | 30.00 | 24.00 | 30.00 | 10.00 | 94.00 |
| 21 | 上海证券 | 1.00 | 2.00 | 0.00 | 0.00 | 3.00 | 54.00 | 250.50 | 54.00 | 0.90 | 0.85 | 1.00 | 1.00 | 27.00 | 25.50 | 30.00 | 10.00 | 92.50 |
| 22 | 光大证券 | 8.00 | 8.00 | 0.00 | 1.00 | 9.00 | 156.50 | 237.00 | 156.50 | 0.85 | 0.80 | 1.00 | 0.85 | 25.50 | 24.00 | 30.00 | 8.50 | 88.00 |
| 23 | 国泰君安 | 4.00 | 6.00 | 0.00 | 0.00 | 8.00 | 199.50 | 178.50 | 199.50 | 0.85 | 0.85 | 1.00 | 1.00 | 25.50 | 25.50 | 30.00 | 10.00 | 91.00 |
| 24 | 华泰证券 | 1.00 | 3.00 | 0.00 | 0.00 | 4.00 | 72.00 | 54.50 | 72.00 | 0.90 | 0.85 | 1.00 | 1.00 | 27.00 | 25.50 | 30.00 | 10.00 | 92.50 |
| 25 | 中信建投 | 8.00 | 12.00 | 0.00 | 2.00 | 18.00 | 258.00 | 64.00 | 258.00 | 0.85 | 0.80 | 1.00 | 0.85 | 25.50 | 24.00 | 30.00 | 8.50 | 88.00 |
| 26 | 中山证券 | 2.00 | 3.00 | 0.00 | 0.00 | 7.00 | 71.50 | 165.00 | 71.50 | 0.90 | 0.85 | 1.00 | 1.00 | 27.00 | 25.50 | 30.00 | 10.00 | 92.50 |
| 27 | 财通证券 | 1.00 | 4.00 | 0.00 | 2.00 | 4.00 | 129.00 | 56.50 | 129.00 | 0.90 | 0.85 | 1.00 | 0.80 | 27.00 | 25.50 | 30.00 | 8.00 | 90.50 |
| 28 | 中金公司 | 1.00 | 0.00 | 0.00 | 1.00 | 1.00 | 10.50 | 19.00 | 10.50 | 0.85 | 1.00 | 1.00 | 0.70 | 25.50 | 30.00 | 30.00 | 7.00 | 92.50 |
| 29 | 西南证券 | 9.00 | 4.00 | 0.00 | 0.00 | 11.00 | 130.00 | 46.00 | 130.00 | 0.85 | 0.85 | 1.00 | 1.00 | 25.50 | 25.50 | 30.00 | 10.00 | 91.00 |
| 30 | 渤海证券 | 1.00 | 1.00 | 0.00 | 0.00 | 3.00 | 22.50 | 15.50 | 22.50 | 0.90 | 0.80 | 1.00 | 1.00 | 27.00 | 24.00 | 30.00 | 10.00 | 91.00 |
| 31 | 第一创业 | 0.00 | 1.00 | 0.00 | 0.00 | 2.00 | 9.00 | 27.50 | 9.00 | 1.00 | 0.70 | 1.00 | 1.00 | 30.00 | 21.00 | 30.00 | 10.00 | 91.00 |
| 32 | 国海证券 | 4.00 | 2.00 | 0.00 | 0.00 | 7.00 | 76.00 | 136.50 | 76.00 | 0.85 | 0.85 | 1.00 | 1.00 | 25.50 | 25.50 | 30.00 | 10.00 | 91.00 |
| 33 | 华安证券 | 1.00 | 1.00 | 0.00 | 0.00 | 1.00 | 28.50 | 118.00 | 28.50 | 0.85 | 0.85 | 1.00 | 1.00 | 25.50 | 25.50 | 30.00 | 10.00 | 91.00 |
| 34 | 金元证券 | 6.00 | 0.00 | 0.00 | 0.00 | 3.00 | 60.00 | 57.50 | 60.00 | 0.70 | 1.00 | 1.00 | 1.00 | 21.00 | 30.00 | 30.00 | 10.00 | 91.00 |
| 35 | 长城证券 | 3.00 | 2.00 | 0.00 | 0.00 | 4.00 | 57.00 | 17.00 | 57.00 | 0.85 | 0.85 | 1.00 | 1.00 | 25.50 | 25.50 | 30.00 | 10.00 | 91.00 |
| 36 | 九州证券 | 3.00 | 0.00 | 0.00 | 0.00 | 1.00 | 2.50 | 171.00 | 2.50 | 0.70 | 1.00 | 1.00 | 1.00 | 21.00 | 30.00 | 30.00 | 10.00 | 91.00 |
| 37 | 安信证券 | 22.00 | 13.00 | 0.00 | 0.00 | 17.00 | 305.00 | 127.00 | 305.00 | 0.80 | 0.80 | 1.00 | 1.00 | 24.00 | 24.00 | 30.00 | 10.00 | 88.00 |
| 38 | 海通证券 | 5.00 | 6.00 | 0.00 | 1.00 | 3.00 | 115.50 | 164.50 | 115.50 | 0.80 | 0.80 | 1.00 | 0.80 | 24.00 | 24.00 | 30.00 | 8.00 | 86.00 |
| 39 | 太平洋证券 | 3.00 | 3.00 | 0.00 | 0.00 | 2.00 | 88.50 | 77.00 | 88.50 | 0.80 | 0.85 | 1.00 | 1.00 | 24.00 | 25.50 | 30.00 | 10.00 | 89.50 |
| 40 | 民族证券 | 2.00 | 0.00 | 0.00 | 0.00 | 0.00 | 22.00 | 8.00 | 22.00 | 0.60 | 1.00 | 1.00 | 1.00 | 18.00 | 30.00 | 30.00 | 10.00 | 88.00 |
| 41 | 天风证券 | 6.00 | 3.00 | 0.00 | 0.00 | 3.00 | 86.00 | 225.50 | 86.00 | 0.70 | 0.85 | 1.00 | 1.00 | 21.00 | 25.50 | 30.00 | 10.00 | 86.50 |
| 42 | 华金证券 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 1.00 | 5.00 | 1.00 | 0.60 | 1.00 | 1.00 | 1.00 | 18.00 | 30.00 | 30.00 | 10.00 | 88.00 |
| 43 | 爱建证券 | 2.00 | 0.00 | 0.00 | 0.00 | 0.00 | 5.50 | 9.50 | 5.50 | 0.60 | 1.00 | 1.00 | 1.00 | 18.00 | 30.00 | 30.00 | 10.00 | 88.00 |
| 44 | 东海证券 | 4.00 | 2.00 | 0.00 | 1.00 | 3.00 | 52.00 | 26.00 | 52.00 | 0.80 | 0.85 | 1.00 | 0.80 | 24.00 | 25.50 | 30.00 | 8.00 | 87.50 |
| 45 | 东吴证券 | 8.00 | 7.00 | 0.00 | 3.00 | 7.00 | 187.50 | 111.50 | 187.50 | 0.80 | 0.85 | 1.00 | 0.80 | 24.00 | 25.50 | 30.00 | 8.00 | 87.50 |
| 46 | 民生证券 | 3.00 | 4.00 | 0.00 | 1.00 | 7.00 | 57.50 | 57.00 | 57.50 | 0.90 | 0.80 | 1.00 | 0.80 | 27.00 | 24.00 | 30.00 | 8.00 | 89.00 |
| 47 | 英大证券 | 2.00 | 0.00 | 0.00 | 0.00 | 0.00 | 24.00 | 15.00 | 24.00 | 0.60 | 1.00 | 1.00 | 1.00 | 18.00 | 30.00 | 30.00 | 10.00 | 88.00 |
| 48 | 申万宏源 | 22.00 | 8.00 | 2.00 | 0.00 | 30.00 | 508.00 | 227.00 | 508.00 | 0.85 | 0.90 | 0.70 | 1.00 | 25.50 | 27.00 | 21.00 | 10.00 | 83.50 |
| 49 | 宏信证券 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 6.00 | 2.50 | 6.00 | 0.60 | 1.00 | 1.00 | 1.00 | 18.00 | 30.00 | 30.00 | 10.00 | 88.00 |
| 50 | 国联证券 | 4.00 | 3.00 | 0.00 | 0.00 | 3.00 | 55.00 | 41.50 | 55.00 | 0.80 | 0.80 | 1.00 | 1.00 | 24.00 | 24.00 | 30.00 | 10.00 | 88.00 |
| 51 | 西部证券 | 12.00 | 3.00 | 0.00 | 1.00 | 5.00 | 127.50 | 88.00 | 127.50 | 0.70 | 0.85 | 1.00 | 0.80 | 21.00 | 25.50 | 30.00 | 8.00 | 84.50 |
| 52 | 财富证券 | 3.00 | 1.00 | 0.00 | 1.00 | 2.00 | 30.00 | 64.00 | 30.00 | 0.80 | 0.85 | 1.00 | 0.70 | 24.00 | 25.50 | 30.00 | 7.00 | 86.50 |
| 53 | 东莞证券 | 4.00 | 4.00 | 0.00 | 4.00 | 9.00 | 91.50 | 141.50 | 91.50 | 0.85 | 0.80 | 1.00 | 0.70 | 25.50 | 24.00 | 30.00 | 7.00 | 86.50 |
| 54 | 财达证券 | 2.00 | 2.00 | 0.00 | 0.00 | 1.00 | 51.00 | 40.00 | 51.00 | 0.70 | 0.85 | 1.00 | 1.00 | 21.00 | 25.50 | 30.00 | 10.00 | 86.50 |
| 55 | 华创证券 | 5.00 | 3.00 | 0.00 | 3.00 | 3.00 | 56.00 | 18.00 | 56.00 | 0.80 | 0.80 | 1.00 | 0.70 | 24.00 | 24.00 | 30.00 | 7.00 | 85.00 |
| 56 | 方正证券 | 11.00 | 1.00 | 1.00 | 0.00 | 11.00 | 91.00 | 62.00 | 91.00 | 0.85 | 0.90 | 0.70 | 1.00 | 25.50 | 27.00 | 21.00 | 10.00 | 83.50 |
| 57 | 华龙证券 | 2.00 | 4.00 | 0.00 | 3.00 | 5.00 | 42.00 | 10.00 | 42.00 | 0.90 | 0.70 | 1.00 | 0.70 | 27.00 | 21.00 | 30.00 | 7.00 | 85.00 |
| 58 | 东兴证券 | 7.00 | 10.00 | 0.00 | 2.00 | 4.00 | 101.00 | 81.00 | 101.00 | 0.80 | 0.70 | 1.00 | 0.80 | 24.00 | 21.00 | 30.00 | 8.00 | 83.00 |
| 59 | 招商证券 | 5.00 | 9.00 | 1.00 | 0.00 | 8.00 | 200.50 | 168.00 | 200.50 | 0.85 | 0.80 | 0.70 | 1.00 | 25.50 | 24.00 | 21.00 | 10.00 | 80.50 |
| 60 | 国开证券 | 0.00 | 0.00 | 0.00 | 1.00 | 0.00 | 6.00 | 11.50 | 6.00 | 0.60 | 1.00 | 1.00 | 0.60 | 18.00 | 30.00 | 30.00 | 6.00 | 84.00 |
| 61 | 国都证券 | 5.00 | 1.00 | 0.00 | 1.00 | 2.00 | 31.00 | 49.00 | 31.00 | 0.70 | 0.85 | 1.00 | 0.70 | 21.00 | 25.50 | 30.00 | 7.00 | 83.50 |
| 62 | 华福证券 | 2.00 | 3.00 | 0.00 | 1.00 | 3.00 | 33.00 | 100.50 | 33.00 | 0.85 | 0.70 | 1.00 | 0.70 | 25.50 | 21.00 | 30.00 | 7.00 | 83.50 |
| 63 | 国金证券 | 10.00 | 3.00 | 0.00 | 3.00 | 2.00 | 119.00 | 28.50 | 119.00 | 0.60 | 0.85 | 1.00 | 0.70 | 18.00 | 25.50 | 30.00 | 7.00 | 80.50 |
| 64 | 联讯证券 | 3.00 | 2.00 | 0.00 | 2.00 | 3.00 | 13.00 | 134.50 | 13.00 | 0.85 | 0.70 | 1.00 | 0.60 | 25.50 | 21.00 | 30.00 | 6.00 | 82.50 |
| 65 | 国元证券 | 2.00 | 5.00 | 0.00 | 0.00 | 0.00 | 72.50 | 35.00 | 72.50 | 0.60 | 0.80 | 1.00 | 1.00 | 18.00 | 24.00 | 30.00 | 10.00 | 82.00 |
| 66 | 山西证券 | 5.00 | 3.00 | 0.00 | 1.00 | 1.00 | 53.50 | 99.00 | 53.50 | 0.60 | 0.80 | 1.00 | 0.80 | 18.00 | 24.00 | 30.00 | 8.00 | 80.00 |
| 67 | 长江证券 | 12.00 | 3.00 | 1.00 | 1.00 | 11.00 | 201.50 | 191.00 | 201.50 | 0.80 | 0.90 | 0.70 | 0.85 | 24.00 | 27.00 | 21.00 | 8.50 | 80.50 |
| 68 | 中原证券 | 10.00 | 4.00 | 0.00 | 0.00 | 0.00 | 84.50 | 115.00 | 84.50 | 0.60 | 0.80 | 1.00 | 1.00 | 18.00 | 24.00 | 30.00 | 10.00 | 82.00 |
| 69 | 大通证券 | 0.00 | 9.00 | 0.00 | 0.00 | 0.00 | 85.50 | 8.50 | 85.50 | 0.60 | 0.70 | 1.00 | 1.00 | 18.00 | 21.00 | 30.00 | 10.00 | 79.00 |
| 70 | 首创证券 | 1.00 | 4.00 | 1.00 | 0.00 | 2.00 | 58.00 | 56.00 | 58.00 | 0.85 | 0.80 | 0.70 | 1.00 | 25.50 | 24.00 | 21.00 | 10.00 | 80.50 |
| 71 | 湘财证券 | 2.00 | 6.00 | 0.00 | 1.00 | 1.00 | 49.00 | 11.00 | 49.00 | 0.70 | 0.70 | 1.00 | 0.80 | 21.00 | 21.00 | 30.00 | 8.00 | 80.00 |
| 72 | 华林证券 | 3.00 | 4.00 | 0.00 | 0.00 | 0.00 | 39.00 | 35.00 | 39.00 | 0.60 | 0.70 | 1.00 | 1.00 | 18.00 | 21.00 | 30.00 | 10.00 | 79.00 |
| 73 | 华融证券 | 2.00 | 5.00 | 0.00 | 1.00 | 1.00 | 50.00 | 132.50 | 50.00 | 0.70 | 0.70 | 1.00 | 0.80 | 21.00 | 21.00 | 30.00 | 8.00 | 80.00 |
| 74 | 中投证券 | 6.00 | 9.00 | 0.00 | 0.00 | 2.00 | 50.00 | 160.50 | 50.00 | 0.70 | 0.60 | 1.00 | 1.00 | 21.00 | 18.00 | 30.00 | 10.00 | 79.00 |
| 75 | 国信证券 | 19.00 | 21.00 | 2.00 | 3.00 | 7.00 | 242.00 | 151.50 | 242.00 | 0.70 | 0.70 | 0.70 | 0.80 | 21.00 | 21.00 | 21.00 | 8.00 | 71.00 |
| 76 | 华信证券 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 6.00 | 0.00 | 6.00 | 0.60 | 1.00 | 0.60 | 1.00 | 18.00 | 30.00 | 18.00 | 10.00 | 76.00 |
| 77 | 广州证券 | 7.00 | 3.00 | 2.00 | 1.00 | 3.00 | 71.00 | 295.50 | 71.00 | 0.70 | 0.85 | 0.70 | 0.80 | 21.00 | 25.50 | 21.00 | 8.00 | 75.50 |
| 78 | 兴业证券 | 22.00 | 5.00 | 1.00 | 3.00 | 10.00 | 145.00 | 242.50 | 145.00 | 0.70 | 0.85 | 0.70 | 0.70 | 21.00 | 25.50 | 21.00 | 7.00 | 74.50 |
| 79 | 国盛证券 | 5.00 | 6.00 | 0.00 | 1.00 | 0.00 | 38.00 | 17.00 | 38.00 | 0.60 | 0.60 | 1.00 | 0.70 | 18.00 | 18.00 | 30.00 | 7.00 | 73.00 |
| 80 | 浙商证券 | 11.00 | 3.00 | 2.00 | 1.00 | 1.00 | 73.50 | 83.50 | 73.50 | 0.60 | 0.85 | 0.60 | 0.80 | 18.00 | 25.50 | 18.00 | 8.00 | 69.50 |
| 81 | 平安证券 | 4.00 | 5.00 | 1.00 | 1.00 | 3.00 | 58.50 | 33.00 | 58.50 | 0.80 | 0.70 | 0.60 | 0.80 | 24.00 | 21.00 | 18.00 | 8.00 | 71.00 |
| 82 | 开源证券 | 2.00 | 0.00 | 0.00 | 1.00 | 0.00 | 0.00 | 110.00 | 0.00 | 0.60 | 0.60 | 1.00 | 0.60 | 18.00 | 18.00 | 30.00 | 6.00 | 72.00 |
| 83 | 万和证券 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 6.00 | 0.00 | 0.60 | 0.60 | 1.00 | 0.60 | 18.00 | 18.00 | 30.00 | 6.00 | 72.00 |
| 84 | 恒泰证券 | 5.00 | 3.00 | 1.00 | 0.00 | 1.00 | 27.50 | 92.00 | 27.50 | 0.60 | 0.70 | 0.70 | 1.00 | 18.00 | 21.00 | 21.00 | 10.00 | 70.00 |
| 85 | 川财证券 | 0.00 | 1.00 | 2.00 | 0.00 | 0.00 | 3.00 | 15.50 | 3.00 | 0.60 | 0.60 | 0.60 | 1.00 | 18.00 | 18.00 | 18.00 | 10.00 | 64.00 |
| 86 | 西藏同信 | 3.00 | 4.00 | 1.00 | 2.00 | 1.00 | 15.50 | 13.50 | 15.50 | 0.70 | 0.60 | 0.60 | 0.60 | 21.00 | 18.00 | 18.00 | 6.00 | 63.00 |
| 87 | 长城国瑞 | 0.00 | 0.00 | 0.00 | 1.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.60 | 0.60 | 0.60 | 0.60 | 18.00 | 18.00 | 18.00 | 6.00 | 60.00 |
| 88 | 银泰证券 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.60 | 0.60 | 0.60 | 0.60 | 18.00 | 18.00 | 18.00 | 6.00 | 60.00 |
| 89 | 华宝证券 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.60 | 0.60 | 0.60 | 0.60 | 18.00 | 18.00 | 18.00 | 6.00 | 60.00 |
| 90 | 中天证券 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.60 | 0.60 | 0.60 | 0.60 | 18.00 | 18.00 | 18.00 | 6.00 | 60.00 |
| 91 | 大同证券 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.60 | 0.60 | 0.60 | 0.60 | 18.00 | 18.00 | 18.00 | 6.00 | 60.00 |

二、评价点值及排序

| **序号** | **主办券商** | **综合点值** | **加点项** | | | | | | **减点项** | **评价**  **点值** | **排序** |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **推荐有行为公司家数** | **发行次数** | **做市成交量** | **做市即时性指标** | **并购重组家数** | **合计加点** | **自律监管措施** |
| 1 | 东方证券 | 95.50 |  |  | 1.5 | 1.5 |  | 3.0 |  | 98.50 | 1 |
| 2 | 华鑫证券 | 100.00 |  |  | 0.5 |  |  | 0.5 | -2.0 | 98.50 | 1 |
| 3 | 东北证券 | 92.00 | 1.0 | 2.0 | 0.5 | 0.5 | 2.0 | 6.0 |  | 98.00 | 3 |
| 4 | 德邦证券 | 97.00 |  |  |  |  |  |  |  | 97.00 | 4 |
| 5 | 广发证券 | 92.50 | 2.0 | 2.0 |  |  |  | 4.0 |  | 96.50 | 5 |
| 6 | 中银国际 | 95.50 |  | 1.0 |  |  |  | 1.0 |  | 96.50 | 5 |
| 7 | 红塔证券 | 96.00 |  |  |  |  |  |  |  | 96.00 | 7 |
| 8 | 华西证券 | 95.50 |  |  |  | 0.5 |  | 0.5 |  | 96.00 | 7 |
| 9 | 万联证券 | 95.50 |  |  | 0.5 |  |  | 0.5 |  | 96.00 | 7 |
| 10 | 江海证券 | 95.50 |  |  |  |  |  |  |  | 95.50 | 10 |
| 11 | 新时代证券 | 92.50 |  | 1.0 |  |  | 2.0 | 3.0 |  | 95.50 | 10 |
| 12 | 信达证券 | 95.50 |  |  |  |  |  |  |  | 95.50 | 10 |
| 13 | 日信证券 | 95.50 |  |  |  |  |  |  |  | 95.50 | 10 |
| 14 | 银河证券 | 94.00 |  |  |  | 1.0 |  | 1.0 |  | 95.00 | 14 |
| 15 | 世纪证券 | 95.50 |  |  |  |  |  |  | -1.0 | 94.50 | 15 |
| 16 | 南京证券 | 94.00 |  |  |  |  |  |  |  | 94.00 | 16 |
| 17 | 中泰证券 | 90.50 | 2.0 |  | 1.0 | 0.5 |  | 3.5 |  | 94.00 | 16 |
| 18 | 中航证券 | 94.00 |  |  |  |  |  |  |  | 94.00 | 16 |
| 19 | 中信证券 | 90.50 | 0.5 | 2.0 | 1.5 | 0.5 |  | 4.5 | -1.0 | 94.00 | 16 |
| 20 | 五矿证券 | 94.00 |  |  |  |  |  |  |  | 94.00 | 16 |
| 21 | 上海证券 | 92.50 |  |  | 1.5 |  |  | 1.5 |  | 94.00 | 16 |
| 22 | 光大证券 | 88.00 | 0.5 | 3.0 |  |  | 2.0 | 5.5 |  | 93.50 | 22 |
| 23 | 国泰君安 | 91.00 | 1.0 | 1.0 | 1.5 | 1.0 |  | 4.5 | -2.0 | 93.50 | 22 |
| 24 | 华泰证券 | 92.50 |  | 1.0 |  |  |  | 1.0 |  | 93.50 | 22 |
| 25 | 中山证券 | 92.50 |  |  | 1.5 |  |  | 1.5 | -1.0 | 93.00 | 25 |
| 26 | 中信建投 | 88.00 | 2.0 | 3.0 | 0.5 |  |  | 5.5 | -1.0 | 92.50 | 26 |
| 27 | 财通证券 | 90.50 | 0.5 | 2.0 |  | 0.5 |  | 3.0 | -1.0 | 92.50 | 26 |
| 28 | 中金公司 | 92.50 |  |  |  |  |  |  |  | 92.50 | 26 |
| 29 | 西南证券 | 91.00 |  | 1.0 |  |  |  | 1.0 |  | 92.00 | 29 |
| 30 | 渤海证券 | 91.00 |  |  |  |  |  |  |  | 91.00 | 30 |
| 31 | 第一创业 | 91.00 |  |  |  |  |  |  |  | 91.00 | 30 |
| 32 | 国海证券 | 91.00 |  | 1.0 |  |  |  | 1.0 | -1.0 | 91.00 | 30 |
| 33 | 华安证券 | 91.00 |  |  |  |  |  |  |  | 91.00 | 30 |
| 34 | 金元证券 | 91.00 |  |  |  |  |  |  |  | 91.00 | 30 |
| 35 | 长城证券 | 91.00 |  |  |  |  |  |  |  | 91.00 | 30 |
| 36 | 九州证券 | 91.00 |  |  |  |  |  |  |  | 91.00 | 30 |
| 37 | 安信证券 | 88.00 | 1.0 | 3.0 | 0.5 |  |  | 4.5 | -2.0 | 90.50 | 37 |
| 38 | 海通证券 | 86.00 | 0.5 | 2.0 | 1.0 |  |  | 3.5 |  | 89.50 | 38 |
| 39 | 太平洋证券 | 89.50 |  |  |  |  |  |  |  | 89.50 | 38 |
| 40 | 民族证券 | 88.00 |  |  |  | 1.5 |  | 1.5 | -1.0 | 88.50 | 40 |
| 41 | 天风证券 | 86.50 |  | 2.0 |  |  |  | 2.0 |  | 88.50 | 40 |
| 42 | 华金证券 | 88.00 |  |  |  | 0.5 |  | 0.5 |  | 88.50 | 40 |
| 43 | 爱建证券 | 88.00 |  |  |  |  |  |  |  | 88.00 | 43 |
| 44 | 东海证券 | 87.50 |  |  |  | 0.5 |  | 0.5 |  | 88.00 | 43 |
| 45 | 东吴证券 | 87.50 | 0.5 |  |  |  |  | 0.5 |  | 88.00 | 43 |
| 46 | 民生证券 | 89.00 |  |  |  |  |  |  | -1.0 | 88.00 | 43 |
| 47 | 英大证券 | 88.00 |  |  |  |  |  |  |  | 88.00 | 43 |
| 48 | 申万宏源 | 83.50 | 2.0 | 3.0 | 0.5 | 1.0 |  | 6.5 | -2.0 | 88.00 | 43 |
| 49 | 宏信证券 | 88.00 |  |  |  |  |  |  |  | 88.00 | 43 |
| 50 | 国联证券 | 88.00 |  |  |  |  |  |  | -1.0 | 87.00 | 50 |
| 51 | 西部证券 | 84.50 | 0.5 |  |  |  | 2.0 | 2.5 |  | 87.00 | 50 |
| 52 | 财富证券 | 86.50 |  |  |  |  |  |  |  | 86.50 | 52 |
| 53 | 财达证券 | 86.50 |  |  |  |  |  |  |  | 86.50 | 52 |
| 54 | 东莞证券 | 86.50 |  |  |  |  |  |  | -1.0 | 85.50 | 54 |
| 55 | 华创证券 | 85.00 |  |  |  | 0.5 |  | 0.5 |  | 85.50 | 54 |
| 56 | 方正证券 | 83.50 |  |  |  | 1.5 |  | 1.5 |  | 85.00 | 56 |
| 57 | 华龙证券 | 85.00 |  |  |  |  |  |  |  | 85.00 | 56 |
| 58 | 东兴证券 | 83.00 | 0.5 | 1.0 |  |  |  | 1.5 |  | 84.50 | 58 |
| 59 | 招商证券 | 80.50 | 1.0 | 2.0 | 1.0 |  |  | 4.0 |  | 84.50 | 58 |
| 60 | 国开证券 | 84.00 |  |  |  |  |  |  |  | 84.00 | 60 |
| 61 | 国都证券 | 83.50 |  |  |  |  |  |  |  | 83.50 | 61 |
| 62 | 华福证券 | 83.50 |  |  |  |  |  |  |  | 83.50 | 61 |
| 63 | 国金证券 | 80.50 | 0.5 |  |  |  | 2.0 | 2.5 |  | 83.00 | 63 |
| 64 | 联讯证券 | 82.50 |  |  |  |  |  |  |  | 82.50 | 64 |
| 65 | 山西证券 | 80.00 |  |  |  |  | 2.0 | 2.0 |  | 82.00 | 65 |
| 66 | 长江证券 | 80.50 | 1.0 |  | 0.5 |  |  | 1.5 |  | 82.00 | 65 |
| 67 | 中原证券 | 82.00 | 0.5 |  |  |  |  | 0.5 | -1.0 | 81.50 | 67 |
| 68 | 国元证券 | 82.00 |  |  |  |  |  |  | -1.0 | 81.00 | 68 |
| 69 | 大通证券 | 79.00 |  |  |  | 1.5 |  | 1.5 |  | 80.50 | 69 |
| 70 | 首创证券 | 80.50 |  |  |  | 0.5 |  | 0.5 | -1.0 | 80.00 | 70 |
| 71 | 湘财证券 | 80.00 |  |  |  |  |  |  |  | 80.00 | 70 |
| 72 | 华林证券 | 79.00 |  |  |  | 1.0 |  | 1.0 |  | 80.00 | 70 |
| 73 | 华融证券 | 80.00 |  |  | 0.5 |  |  | 0.5 | -1.0 | 79.50 | 73 |
| 74 | 中投证券 | 79.00 |  |  | 0.5 |  |  | 0.5 |  | 79.50 | 73 |
| 75 | 国信证券 | 71.00 | 2.0 | 3.0 | 1.0 | 1.5 |  | 7.5 | -2.0 | 76.50 | 75 |
| 76 | 华信证券 | 76.00 |  |  |  |  |  |  |  | 76.00 | 76 |
| 77 | 广州证券 | 75.50 |  |  | 0.5 |  |  | 0.5 | -1.0 | 75.00 | 77 |
| 78 | 兴业证券 | 74.50 | 0.5 | 1.0 | 1.0 | 0.5 |  | 3.0 | -3.0 | 74.50 | 78 |
| 79 | 国盛证券 | 73.00 |  |  |  |  |  |  |  | 73.00 | 79 |
| 80 | 浙商证券 | 69.50 |  | 1.0 |  |  | 2.0 | 3.0 |  | 72.50 | 80 |
| 81 | 平安证券 | 71.00 |  |  |  | 1.0 |  | 1.0 |  | 72.00 | 81 |
| 82 | 开源证券 | 72.00 |  |  |  |  |  |  |  | 72.00 | 81 |
| 83 | 万和证券 | 72.00 |  |  |  |  |  |  |  | 72.00 | 81 |
| 84 | 恒泰证券 | 70.00 |  |  |  |  |  |  |  | 70.00 | 84 |
| 85 | 川财证券 | 64.00 |  |  |  |  |  |  |  | 64.00 | 85 |
| 86 | 西藏同信 | 63.00 |  |  |  |  |  |  |  | 63.00 | 86 |
| 87 | 长城国瑞 | 60.00 |  |  |  |  |  |  |  | 60.00 | 87 |
| 88 | 银泰证券 | 60.00 |  |  |  |  |  |  |  | 60.00 | 87 |
| 89 | 华宝证券 | 60.00 |  |  |  |  |  |  |  | 60.00 | 87 |
| 90 | 中天证券 | 60.00 |  |  |  |  |  |  |  | 60.00 | 87 |
| 91 | 大同证券 | 60.00 |  |  |  |  |  |  |  | 60.00 | 87 |

1. 综合点值计算基本过程:

   1、四类业务基准点值分别为30点、30点、30点、10点，无负面行为记录且业务量不为0时，系数为1，得基准点值；业务量为0时，系数为0.6；有负面行为记录时，按照下列第2步计算系数，并用系数乘以基准点值计算业务点值；

   2、X=四类业务负面行为记录数量/业务量(推荐挂牌类负面行为记录/当月推荐挂牌企业家数，挂牌后督导类负面行为记录/持续督导企业家数当月平均值，交易管理类负面行为记录/提供做市服务企业数量当月平均值，综合管理类负面行为记录/持续督导企业家数当月平均值)

   X值排名区间小于5%（含），b=0.60；

   X值排名区间在5%-20%（含）之间，b=0.70；

   X值排名区间在20%-40%（含）之间，b=0.80；

   X值排名区间在40%-70%（含）之间，b=0.85；

   X值排名区间在70%-100%之间，b=0.90

   3、以华福证券为例计算综合点值：

   |  |  |
   | --- | --- |
   | 推荐挂牌点值 | =（推荐挂牌类负面行为记录/当月推荐挂牌企业家数）比值所在区间的系数\*30=0.85\*30=25.5 |
   | 推荐后督导点值 | =（挂牌后督导类负面行为记录/持续督导企业家数当月平均值）比值所在区间的系数\*30=0.7\*30=21 |
   | 交易管理点值 | =（交易管理类负面行为记录/提供做市服务企业数量当月平均值）比值所在区间的系数\*30 |
   |  | =1(无负面行为记录) \*30=30 |
   | 综合管理点值 | =（综合管理类负面行为记录/持续督导企业家数当月平均值）比值所在区间的系数\*10=0.7\*10=7 |
   | 华福证券综合点值 | =推荐挂牌点值+推荐后督导点值+交易管理点值+综合管理点值=25.5+21+30+7=83.5 |

   [↑](#endnote-ref-1)