附件

主办券商执业质量月度评价结果（2016年7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 | 上海证券 | 0.00 | 0.00 | 0.00 | 0.00 | 10.00 | 64.00 | 256.50 | 64.00 | 1.00 | 1.00 | 1.00 | 1.00 | 30.00 | 30.00 | 30.00 | 10.00 | 100.00 |
| 2 | 广发证券 | 0.00 | 5.00 | 0.00 | 1.00 | 19.00 | 258.00 | 190.50 | 258.00 | 1.00 | 0.85 | 1.00 | 0.80 | 30.00 | 25.50 | 30.00 | 8.00 | 93.50 |
| 3 | 长城证券 | 0.00 | 0.00 | 0.00 | 0.00 | 10.00 | 73.50 | 19.00 | 73.50 | 1.00 | 1.00 | 1.00 | 1.00 | 30.00 | 30.00 | 30.00 | 10.00 | 100.00 |
| 4 | 华西证券 | 0.00 | 0.00 | 0.00 | 0.00 | 5.00 | 38.50 | 2.00 | 38.50 | 1.00 | 1.00 | 1.00 | 1.00 | 30.00 | 30.00 | 30.00 | 10.00 | 100.00 |
| 5 | 中山证券 | 0.00 | 0.00 | 0.00 | 0.00 | 6.00 | 81.00 | 194.50 | 81.00 | 1.00 | 1.00 | 1.00 | 1.00 | 30.00 | 30.00 | 30.00 | 10.00 | 100.00 |
| 6 | 华金证券 | 0.00 | 0.00 | 0.00 | 0.00 | 2.00 | 2.00 | 10.00 | 2.00 | 1.00 | 1.00 | 1.00 | 1.00 | 30.00 | 30.00 | 30.00 | 10.00 | 100.00 |
| 7 | 渤海证券 | 0.00 | 0.00 | 0.00 | 0.00 | 2.00 | 30.50 | 22.00 | 30.50 | 1.00 | 1.00 | 1.00 | 1.00 | 30.00 | 30.00 | 30.00 | 10.00 | 100.00 |
| 8 | 民生证券 | 0.00 | 0.00 | 0.00 | 0.00 | 11.00 | 65.50 | 72.50 | 65.50 | 1.00 | 1.00 | 1.00 | 1.00 | 30.00 | 30.00 | 30.00 | 10.00 | 100.00 |
| 9 | 世纪证券 | 0.00 | 0.00 | 0.00 | 0.00 | 3.00 | 10.50 | 101.00 | 10.50 | 1.00 | 1.00 | 1.00 | 1.00 | 30.00 | 30.00 | 30.00 | 10.00 | 100.00 |
| 10 | 天风证券 | 0.00 | 0.00 | 0.00 | 0.00 | 15.00 | 98.50 | 238.50 | 98.50 | 1.00 | 1.00 | 1.00 | 1.00 | 30.00 | 30.00 | 30.00 | 10.00 | 100.00 |
| 11 | 国泰君安 | 0.00 | 4.00 | 0.00 | 1.00 | 12.00 | 231.00 | 188.50 | 231.00 | 1.00 | 0.85 | 1.00 | 0.80 | 30.00 | 25.50 | 30.00 | 8.00 | 93.50 |
| 12 | 海通证券 | 0.00 | 1.00 | 0.00 | 0.00 | 9.00 | 128.00 | 180.00 | 128.00 | 1.00 | 0.85 | 1.00 | 1.00 | 30.00 | 25.50 | 30.00 | 10.00 | 95.50 |
| 13 | 东方证券 | 0.00 | 2.00 | 0.00 | 0.00 | 6.00 | 61.50 | 149.50 | 61.50 | 1.00 | 0.80 | 1.00 | 1.00 | 30.00 | 24.00 | 30.00 | 10.00 | 94.00 |
| 14 | 东莞证券 | 0.00 | 2.00 | 0.00 | 1.00 | 31.00 | 121.50 | 168.00 | 121.50 | 1.00 | 0.85 | 1.00 | 0.80 | 30.00 | 25.50 | 30.00 | 8.00 | 93.50 |
| 15 | 国信证券 | 1.00 | 1.00 | 0.00 | 0.00 | 31.00 | 273.50 | 154.50 | 273.50 | 0.85 | 0.85 | 1.00 | 1.00 | 25.50 | 25.50 | 30.00 | 10.00 | 91.00 |
| 16 | 华安证券 | 0.00 | 0.00 | 0.00 | 1.00 | 5.00 | 35.50 | 129.00 | 35.50 | 1.00 | 1.00 | 1.00 | 0.70 | 30.00 | 30.00 | 30.00 | 7.00 | 97.00 |
| 17 | 江海证券 | 0.00 | 0.00 | 0.00 | 1.00 | 13.00 | 39.00 | 28.00 | 39.00 | 1.00 | 1.00 | 1.00 | 0.70 | 30.00 | 30.00 | 30.00 | 7.00 | 97.00 |
| 18 | 川财证券 | 0.00 | 0.00 | 0.00 | 1.00 | 3.00 | 4.50 | 17.00 | 4.50 | 1.00 | 1.00 | 1.00 | 0.60 | 30.00 | 30.00 | 30.00 | 6.00 | 96.00 |
| 19 | 兴业证券 | 1.00 | 0.00 | 0.00 | 1.00 | 53.00 | 184.00 | 275.00 | 184.00 | 0.85 | 1.00 | 1.00 | 0.80 | 25.50 | 30.00 | 30.00 | 8.00 | 93.50 |
| 20 | 长江证券 | 1.00 | 1.00 | 0.00 | 1.00 | 41.00 | 234.50 | 215.50 | 234.50 | 0.85 | 0.85 | 1.00 | 0.80 | 25.50 | 25.50 | 30.00 | 8.00 | 89.00 |
| 21 | 方正证券 | 1.00 | 0.00 | 0.00 | 1.00 | 44.00 | 116.00 | 67.50 | 116.00 | 0.85 | 1.00 | 1.00 | 0.80 | 25.50 | 30.00 | 30.00 | 8.00 | 93.50 |
| 22 | 申万宏源 | 1.00 | 4.00 | 0.00 | 1.00 | 50.00 | 576.00 | 262.50 | 576.00 | 0.85 | 0.85 | 1.00 | 0.80 | 25.50 | 25.50 | 30.00 | 8.00 | 89.00 |
| 23 | 安信证券 | 3.00 | 6.00 | 0.00 | 2.00 | 68.00 | 384.50 | 139.00 | 384.50 | 0.85 | 0.85 | 1.00 | 0.80 | 25.50 | 25.50 | 30.00 | 8.00 | 89.00 |
| 24 | 财通证券 | 0.00 | 5.00 | 0.00 | 0.00 | 20.00 | 146.00 | 67.00 | 146.00 | 1.00 | 0.80 | 1.00 | 1.00 | 30.00 | 24.00 | 30.00 | 10.00 | 94.00 |
| 25 | 光大证券 | 1.00 | 0.00 | 0.00 | 2.00 | 26.00 | 175.00 | 240.00 | 175.00 | 0.85 | 1.00 | 1.00 | 0.70 | 25.50 | 30.00 | 30.00 | 7.00 | 92.50 |
| 26 | 南京证券 | 0.00 | 2.00 | 0.00 | 0.00 | 5.00 | 61.50 | 75.50 | 61.50 | 1.00 | 0.80 | 1.00 | 1.00 | 30.00 | 24.00 | 30.00 | 10.00 | 94.00 |
| 27 | 湘财证券 | 2.00 | 0.00 | 0.00 | 0.00 | 9.00 | 61.00 | 16.00 | 61.00 | 0.80 | 1.00 | 1.00 | 1.00 | 24.00 | 30.00 | 30.00 | 10.00 | 94.00 |
| 28 | 招商证券 | 2.00 | 2.00 | 0.00 | 2.00 | 39.00 | 231.50 | 184.50 | 231.50 | 0.85 | 0.85 | 1.00 | 0.80 | 25.50 | 25.50 | 30.00 | 8.00 | 89.00 |
| 29 | 平安证券 | 0.00 | 2.00 | 0.00 | 0.00 | 13.00 | 66.00 | 38.50 | 66.00 | 1.00 | 0.80 | 1.00 | 1.00 | 30.00 | 24.00 | 30.00 | 10.00 | 94.00 |
| 30 | 中泰证券 | 4.00 | 3.00 | 0.00 | 1.00 | 59.00 | 348.00 | 301.50 | 348.00 | 0.85 | 0.85 | 1.00 | 0.80 | 25.50 | 25.50 | 30.00 | 8.00 | 89.00 |
| 31 | 中信建投 | 1.00 | 6.00 | 0.00 | 1.00 | 32.00 | 298.50 | 68.50 | 298.50 | 0.85 | 0.80 | 1.00 | 0.80 | 25.50 | 24.00 | 30.00 | 8.00 | 87.50 |
| 32 | 东北证券 | 2.00 | 5.00 | 0.00 | 0.00 | 26.00 | 222.50 | 89.50 | 222.50 | 0.85 | 0.80 | 1.00 | 1.00 | 25.50 | 24.00 | 30.00 | 10.00 | 89.50 |
| 33 | 大通证券 | 0.00 | 5.00 | 0.00 | 0.00 | 2.00 | 88.00 | 9.00 | 88.00 | 1.00 | 0.70 | 1.00 | 1.00 | 30.00 | 21.00 | 30.00 | 10.00 | 91.00 |
| 34 | 华泰证券 | 1.00 | 0.00 | 0.00 | 0.00 | 4.00 | 77.50 | 64.00 | 77.50 | 0.70 | 1.00 | 1.00 | 1.00 | 21.00 | 30.00 | 30.00 | 10.00 | 91.00 |
| 35 | 爱建证券 | 1.00 | 0.00 | 0.00 | 0.00 | 4.00 | 9.00 | 12.00 | 9.00 | 0.70 | 1.00 | 1.00 | 1.00 | 21.00 | 30.00 | 30.00 | 10.00 | 91.00 |
| 36 | 万联证券 | 0.00 | 2.00 | 0.00 | 0.00 | 9.00 | 44.00 | 167.50 | 44.00 | 1.00 | 0.70 | 1.00 | 1.00 | 30.00 | 21.00 | 30.00 | 10.00 | 91.00 |
| 37 | 西南证券 | 2.00 | 1.00 | 0.00 | 0.00 | 32.00 | 164.00 | 55.50 | 164.00 | 0.85 | 0.85 | 1.00 | 1.00 | 25.50 | 25.50 | 30.00 | 10.00 | 91.00 |
| 38 | 银河证券 | 2.00 | 0.00 | 0.00 | 0.00 | 8.00 | 71.00 | 64.00 | 71.00 | 0.70 | 1.00 | 1.00 | 1.00 | 21.00 | 30.00 | 30.00 | 10.00 | 91.00 |
| 39 | 财富证券 | 2.00 | 0.00 | 0.00 | 0.00 | 7.00 | 36.00 | 69.00 | 36.00 | 0.70 | 1.00 | 1.00 | 1.00 | 21.00 | 30.00 | 30.00 | 10.00 | 91.00 |
| 40 | 东吴证券 | 7.00 | 2.00 | 0.00 | 2.00 | 35.00 | 225.50 | 168.00 | 225.50 | 0.80 | 0.85 | 1.00 | 0.80 | 24.00 | 25.50 | 30.00 | 8.00 | 87.50 |
| 41 | 国联证券 | 3.00 | 0.00 | 0.00 | 1.00 | 13.00 | 75.00 | 51.00 | 75.00 | 0.80 | 1.00 | 1.00 | 0.70 | 24.00 | 30.00 | 30.00 | 7.00 | 91.00 |
| 42 | 金元证券 | 0.00 | 3.00 | 0.00 | 0.00 | 11.00 | 67.50 | 59.50 | 67.50 | 1.00 | 0.70 | 1.00 | 1.00 | 30.00 | 21.00 | 30.00 | 10.00 | 91.00 |
| 43 | 山西证券 | 1.00 | 0.00 | 0.00 | 1.00 | 8.00 | 61.00 | 95.50 | 61.00 | 0.80 | 1.00 | 1.00 | 0.70 | 24.00 | 30.00 | 30.00 | 7.00 | 91.00 |
| 44 | 中投证券 | 1.00 | 1.00 | 0.00 | 0.00 | 13.00 | 56.50 | 178.00 | 56.50 | 0.85 | 0.85 | 1.00 | 1.00 | 25.50 | 25.50 | 30.00 | 10.00 | 91.00 |
| 45 | 财达证券 | 1.00 | 0.00 | 0.00 | 0.00 | 4.00 | 61.00 | 46.00 | 61.00 | 0.70 | 1.00 | 1.00 | 1.00 | 21.00 | 30.00 | 30.00 | 10.00 | 91.00 |
| 46 | 联讯证券 | 0.00 | 1.00 | 0.00 | 0.00 | 11.00 | 21.50 | 171.00 | 21.50 | 1.00 | 0.70 | 1.00 | 1.00 | 30.00 | 21.00 | 30.00 | 10.00 | 91.00 |
| 47 | 西部证券 | 2.00 | 2.00 | 0.00 | 0.00 | 25.00 | 152.50 | 102.50 | 152.50 | 0.85 | 0.85 | 1.00 | 1.00 | 25.50 | 25.50 | 30.00 | 10.00 | 91.00 |
| 48 | 华创证券 | 1.00 | 1.00 | 0.00 | 0.00 | 6.00 | 70.00 | 20.00 | 70.00 | 0.80 | 0.85 | 1.00 | 1.00 | 24.00 | 25.50 | 30.00 | 10.00 | 89.50 |
| 49 | 东方财富 | 0.00 | 2.00 | 0.00 | 0.00 | 7.00 | 19.50 | 16.00 | 19.50 | 1.00 | 0.60 | 1.00 | 1.00 | 30.00 | 18.00 | 30.00 | 10.00 | 88.00 |
| 50 | 华龙证券 | 1.00 | 1.00 | 0.00 | 0.00 | 11.00 | 49.00 | 13.50 | 49.00 | 0.85 | 0.80 | 1.00 | 1.00 | 25.50 | 24.00 | 30.00 | 10.00 | 89.50 |
| 51 | 华融证券 | 1.00 | 2.00 | 0.00 | 0.00 | 14.00 | 56.00 | 146.00 | 56.00 | 0.85 | 0.80 | 1.00 | 1.00 | 25.50 | 24.00 | 30.00 | 10.00 | 89.50 |
| 52 | 国都证券 | 1.00 | 0.00 | 0.00 | 1.00 | 5.00 | 38.00 | 53.50 | 38.00 | 0.80 | 1.00 | 1.00 | 0.70 | 24.00 | 30.00 | 30.00 | 7.00 | 91.00 |
| 53 | 国元证券 | 3.00 | 0.00 | 0.00 | 0.00 | 9.00 | 88.00 | 37.50 | 88.00 | 0.60 | 1.00 | 1.00 | 1.00 | 18.00 | 30.00 | 30.00 | 10.00 | 88.00 |
| 54 | 第一创业 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 13.00 | 48.50 | 13.00 | 0.60 | 1.00 | 1.00 | 1.00 | 18.00 | 30.00 | 30.00 | 10.00 | 88.00 |
| 55 | 广州证券 | 2.00 | 2.00 | 0.00 | 1.00 | 14.00 | 90.00 | 303.00 | 90.00 | 0.80 | 0.80 | 1.00 | 0.80 | 24.00 | 24.00 | 30.00 | 8.00 | 86.00 |
| 56 | 国盛证券 | 1.00 | 1.00 | 0.00 | 0.00 | 10.00 | 42.50 | 17.00 | 42.50 | 0.80 | 0.80 | 1.00 | 1.00 | 24.00 | 24.00 | 30.00 | 10.00 | 88.00 |
| 57 | 太平洋证券 | 3.00 | 1.00 | 0.00 | 0.00 | 12.00 | 98.50 | 84.00 | 98.50 | 0.70 | 0.85 | 1.00 | 1.00 | 21.00 | 25.50 | 30.00 | 10.00 | 86.50 |
| 58 | 中金公司 | 1.00 | 0.00 | 0.00 | 0.00 | 2.00 | 12.00 | 22.00 | 12.00 | 0.60 | 1.00 | 1.00 | 1.00 | 18.00 | 30.00 | 30.00 | 10.00 | 88.00 |
| 59 | 华林证券 | 0.00 | 3.00 | 0.00 | 1.00 | 9.00 | 45.50 | 40.00 | 45.50 | 1.00 | 0.70 | 1.00 | 0.70 | 30.00 | 21.00 | 30.00 | 7.00 | 88.00 |
| 60 | 国开证券 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 7.00 | 15.00 | 7.00 | 0.60 | 1.00 | 1.00 | 1.00 | 18.00 | 30.00 | 30.00 | 10.00 | 88.00 |
| 61 | 国金证券 | 0.00 | 6.00 | 1.00 | 0.00 | 18.00 | 138.50 | 31.00 | 138.50 | 1.00 | 0.80 | 0.70 | 1.00 | 30.00 | 24.00 | 21.00 | 10.00 | 85.00 |
| 62 | 九州证券 | 0.00 | 0.00 | 3.00 | 1.00 | 4.00 | 8.50 | 213.50 | 8.50 | 1.00 | 1.00 | 0.70 | 0.60 | 30.00 | 30.00 | 21.00 | 6.00 | 87.00 |
| 63 | 首创证券 | 2.00 | 3.00 | 0.00 | 0.00 | 11.00 | 65.00 | 62.50 | 65.00 | 0.80 | 0.70 | 1.00 | 1.00 | 24.00 | 21.00 | 30.00 | 10.00 | 85.00 |
| 64 | 新时代证券 | 1.00 | 2.00 | 0.00 | 1.00 | 17.00 | 76.50 | 38.50 | 76.50 | 0.85 | 0.80 | 1.00 | 0.70 | 25.50 | 24.00 | 30.00 | 7.00 | 86.50 |
| 65 | 东兴证券 | 2.00 | 5.00 | 0.00 | 2.00 | 14.00 | 117.00 | 94.00 | 117.00 | 0.80 | 0.80 | 1.00 | 0.70 | 24.00 | 24.00 | 30.00 | 7.00 | 85.00 |
| 66 | 信达证券 | 1.00 | 2.00 | 0.00 | 0.00 | 5.00 | 41.50 | 68.00 | 41.50 | 0.80 | 0.70 | 1.00 | 1.00 | 24.00 | 21.00 | 30.00 | 10.00 | 85.00 |
| 67 | 中信证券 | 2.00 | 0.00 | 1.00 | 1.00 | 11.00 | 143.00 | 176.50 | 143.00 | 0.80 | 1.00 | 0.70 | 0.80 | 24.00 | 30.00 | 21.00 | 8.00 | 83.00 |
| 68 | 国融证券 | 5.00 | 2.00 | 0.00 | 3.00 | 33.00 | 50.00 | 14.00 | 50.00 | 0.80 | 0.80 | 1.00 | 0.70 | 24.00 | 24.00 | 30.00 | 7.00 | 85.00 |
| 69 | 华福证券 | 1.00 | 1.00 | 0.00 | 0.00 | 4.00 | 47.50 | 103.00 | 47.50 | 0.70 | 0.80 | 1.00 | 1.00 | 21.00 | 24.00 | 30.00 | 10.00 | 85.00 |
| 70 | 东海证券 | 1.00 | 0.00 | 1.00 | 0.00 | 14.00 | 61.00 | 28.00 | 61.00 | 0.85 | 1.00 | 0.60 | 1.00 | 25.50 | 30.00 | 18.00 | 10.00 | 83.50 |
| 71 | 中原证券 | 1.00 | 4.00 | 0.00 | 1.00 | 14.00 | 87.00 | 131.00 | 87.00 | 0.85 | 0.70 | 1.00 | 0.70 | 25.50 | 21.00 | 30.00 | 7.00 | 83.50 |
| 72 | 开源证券 | 2.00 | 0.00 | 0.00 | 2.00 | 6.00 | 1.50 | 127.00 | 1.50 | 0.60 | 1.00 | 1.00 | 0.60 | 18.00 | 30.00 | 30.00 | 6.00 | 84.00 |
| 73 | 国海证券 | 4.00 | 5.00 | 0.00 | 0.00 | 13.00 | 97.50 | 155.00 | 97.50 | 0.70 | 0.70 | 1.00 | 1.00 | 21.00 | 21.00 | 30.00 | 10.00 | 82.00 |
| 74 | 浙商证券 | 5.00 | 2.00 | 0.00 | 1.00 | 17.00 | 78.00 | 101.00 | 78.00 | 0.70 | 0.80 | 1.00 | 0.70 | 21.00 | 24.00 | 30.00 | 7.00 | 82.00 |
| 75 | 德邦证券 | 1.00 | 2.00 | 0.00 | 0.00 | 4.00 | 35.50 | 35.50 | 35.50 | 0.70 | 0.70 | 1.00 | 1.00 | 21.00 | 21.00 | 30.00 | 10.00 | 82.00 |
| 76 | 恒泰证券 | 2.00 | 0.00 | 1.00 | 2.00 | 18.00 | 32.00 | 103.00 | 32.00 | 0.80 | 1.00 | 0.70 | 0.60 | 24.00 | 30.00 | 21.00 | 6.00 | 81.00 |
| 77 | 中银国际 | 3.00 | 5.00 | 0.00 | 1.00 | 11.00 | 77.00 | 73.50 | 77.00 | 0.70 | 0.70 | 1.00 | 0.70 | 21.00 | 21.00 | 30.00 | 7.00 | 79.00 |
| 78 | 红塔证券 | 0.00 | 1.00 | 0.00 | 0.00 | 0.00 | 11.00 | 32.50 | 11.00 | 0.60 | 0.70 | 1.00 | 1.00 | 18.00 | 21.00 | 30.00 | 10.00 | 79.00 |
| 79 | 民族证券 | 2.00 | 0.00 | 1.00 | 0.00 | 7.00 | 25.00 | 8.00 | 25.00 | 0.70 | 1.00 | 0.60 | 1.00 | 21.00 | 30.00 | 18.00 | 10.00 | 79.00 |
| 80 | 中航证券 | 0.00 | 1.00 | 1.00 | 0.00 | 1.00 | 18.00 | 7.00 | 18.00 | 1.00 | 0.70 | 0.60 | 1.00 | 30.00 | 21.00 | 18.00 | 10.00 | 79.00 |
| 81 | 华鑫证券 | 2.00 | 3.00 | 0.00 | 0.00 | 3.00 | 30.00 | 43.50 | 30.00 | 0.60 | 0.60 | 1.00 | 1.00 | 18.00 | 18.00 | 30.00 | 10.00 | 76.00 |
| 82 | 英大证券 | 1.00 | 1.00 | 1.00 | 0.00 | 7.00 | 28.50 | 19.00 | 28.50 | 0.80 | 0.80 | 0.60 | 1.00 | 24.00 | 24.00 | 18.00 | 10.00 | 76.00 |
| 83 | 五矿证券 | 2.00 | 3.00 | 0.00 | 0.00 | 3.00 | 20.00 | 7.50 | 20.00 | 0.60 | 0.60 | 1.00 | 1.00 | 18.00 | 18.00 | 30.00 | 10.00 | 76.00 |
| 84 | 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 |
| 85 | 宏信证券 | 0.00 | 1.00 | 0.00 | 0.00 | 0.00 | 6.00 | 3.00 | 6.00 | 0.60 | 0.60 | 1.00 | 1.00 | 18.00 | 18.00 | 30.00 | 10.00 | 76.00 |
| 86 | 万和证券 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 21.00 | 0.00 | 0.60 | 0.60 | 1.00 | 0.60 | 18.00 | 18.00 | 30.00 | 6.00 | 72.00 |
| 87 | 长城国瑞 | 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 |
| 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 |
| 92 | 中邮证券 | 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 |
| 93 | 网信证券 | 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** | **7月排序** | **6月排序** | **4-7月累计计值排序**\*\* |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **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 | 上海证券 | 100.00 |  | 1.00 | 1.50 |  |  | 2.50 |  | 102.50 | 1 | 53 | 18 |
| 2 | 广发证券 | 93.50 | 2.00 | 3.00 | 1.00 | 0.50 | 2.00 | 8.50 |  | 102.00 | 2 | 13 | 16 |
| 3 | 长城证券 | 100.00 |  |  |  |  | 2.00 | 2.00 |  | 102.00 | 2 | 36 | 52 |
| 4 | 华西证券 | 100.00 |  |  |  | 1.50 |  | 1.50 |  | 101.50 | 4 | 33 | 16 |
| 5 | 中山证券 | 100.00 |  | 1.00 | 0.50 |  |  | 1.50 |  | 101.50 | 4 | 69\* | 33 |
| 6 | 华金证券 | 100.00 |  |  |  | 1.00 |  | 1.00 |  | 101.00 | 6 | 36 | 12 |
| 7 | 渤海证券 | 100.00 |  |  |  |  |  |  |  | 100.00 | 7 | 26 | 37 |
| 8 | 民生证券 | 100.00 |  |  |  |  |  |  |  | 100.00 | 7 | 57 | 55 |
| 9 | 世纪证券 | 100.00 |  |  |  |  |  |  |  | 100.00 | 7 | 36 | 1 |
| 10 | 天风证券 | 100.00 |  |  |  |  |  |  |  | 100.00 | 7 | 61 | 11 |
| 11 | 国泰君安 | 93.50 | 1.00 | 2.00 | 1.50 | 1.50 |  | 6.00 |  | 99.50 | 11 | 23 | 6 |
| 12 | 海通证券 | 95.50 | 0.50 | 1.00 | 1.50 |  |  | 3.00 |  | 98.50 | 12 | 7 | 22 |
| 13 | 东方证券 | 94.00 |  |  | 1.50 | 1.50 |  | 3.00 |  | 97.00 | 13 | 57 | 24 |
| 14 | 东莞证券 | 93.50 | 0.50 | 3.00 |  |  |  | 3.50 |  | 97.00 | 13 | 67 | 60 |
| 15 | 国信证券 | 91.00 | 2.00 | 1.00 | 1.50 | 1.50 |  | 6.00 |  | 97.00 | 13 | 8 | 26 |
| 16 | 华安证券 | 97.00 |  |  |  |  |  |  |  | 97.00 | 13 | 57 | 22 |
| 17 | 江海证券 | 97.00 |  |  |  |  |  |  |  | 97.00 | 13 | 84 | 63 |
| 18 | 川财证券 | 96.00 |  |  |  |  |  |  |  | 96.00 | 18 | 61 | 68 |
| 19 | 兴业证券 | 93.50 | 0.50 |  | 1.00 | 0.50 |  | 2.00 |  | 95.50 | 19 | 32 | 45 |
| 20 | 长江证券 | 89.00 | 1.00 | 3.00 | 0.50 |  | 2.00 | 6.50 |  | 95.50 | 19 | 36 | 18 |
| 21 | 方正证券 | 93.50 |  |  |  | 1.50 |  | 1.50 |  | 95.00 | 21 | 10 | 29 |
| 22 | 申万宏源 | 89.00 | 2.00 | 2.00 | 0.50 | 1.00 |  | 5.50 |  | 94.50 | 22 | 14 | 7 |
| 23 | 安信证券 | 89.00 | 1.00 | 3.00 | 0.50 | 0.50 |  | 5.00 |  | 94.00 | 23 | 26 | 12 |
| 24 | 财通证券 | 94.00 | 0.50 |  |  | 0.50 |  | 1.00 | -1.00 | 94.00 | 23 | 53 | 47 |
| 25 | 光大证券 | 92.50 | 0.50 | 1.00 |  |  |  | 1.50 |  | 94.00 | 23 | 50 | 15 |
| 26 | 南京证券 | 94.00 |  |  |  |  |  |  |  | 94.00 | 23 | 19 | 5 |
| 27 | 湘财证券 | 94.00 |  |  |  |  |  |  |  | 94.00 | 23 | 35 | 29 |
| 28 | 招商证券 | 89.00 | 1.00 | 2.00 | 1.00 | 1.00 |  | 5.00 |  | 94.00 | 23 | 66 | 33 |
| 29 | 平安证券 | 94.00 |  | 1.00 |  | 0.50 |  | 1.50 | -2.00 | 93.50 | 29 | 10\* | 68 |
| 30 | 中泰证券 | 89.00 | 2.00 | 2.00 | 0.50 |  |  | 4.50 |  | 93.50 | 29 | 14 | 1 |
| 31 | 中信建投 | 87.50 | 2.00 | 3.00 | 0.50 |  |  | 5.50 |  | 93.00 | 31 | 21 | 4 |
| 32 | 东北证券 | 89.50 | 1.00 | 1.00 | 1.00 |  |  | 3.00 |  | 92.50 | 32 | 67 | 3 |
| 33 | 大通证券 | 91.00 |  |  |  | 1.00 |  | 1.00 |  | 92.00 | 33 | 16 | 39 |
| 34 | 华泰证券 | 91.00 |  | 1.00 |  |  |  | 1.00 |  | 92.00 | 33 | 2 | 26 |
| 35 | 爱建证券 | 91.00 |  |  |  | 0.50 |  | 0.50 |  | 91.50 | 35 | 82 | 70 |
| 36 | 万联证券 | 91.00 |  |  | 0.50 |  |  | 0.50 |  | 91.50 | 35 | 16 | 12 |
| 37 | 西南证券 | 91.00 | 0.50 |  |  |  |  | 0.50 |  | 91.50 | 35 | 9 | 7 |
| 38 | 银河证券 | 91.00 |  |  |  | 0.50 |  | 0.50 |  | 91.50 | 35 | 1 | 7 |
| 39 | 财富证券 | 91.00 |  |  |  |  |  |  |  | 91.00 | 39 | 26 | 37 |
| 40 | 东吴证券 | 87.50 | 0.50 | 3.00 |  |  |  | 3.50 |  | 91.00 | 39 | 16 | 29 |
| 41 | 国联证券 | 91.00 |  |  |  |  |  |  |  | 91.00 | 39 | 50 | 52 |
| 42 | 金元证券 | 91.00 |  |  |  |  |  |  |  | 91.00 | 39 | 36 | 33 |
| 43 | 山西证券 | 91.00 |  |  |  |  |  |  |  | 91.00 | 39 | 71 | 52 |
| 44 | 中投证券 | 91.00 |  |  |  |  |  |  |  | 91.00 | 39 | 86 | 70 |
| 45 | 财达证券 | 91.00 |  |  |  |  |  |  |  | 91.00 | 39 | 26 | 47 |
| 46 | 联讯证券 | 91.00 |  |  |  |  |  |  |  | 91.00 | 39 | 26 | 63 |
| 47 | 西部证券 | 91.00 | 0.50 |  |  |  |  | 0.50 | -1.00 | 90.50 | 47 | 70 | 46 |
| 48 | 华创证券 | 89.50 |  |  |  | 0.50 |  | 0.50 |  | 90.00 | 48 | 57 | 47 |
| 49 | 东方财富 | 88.00 |  |  |  |  | 2.00 | 2.00 |  | 90.00 | 48 | 2 | 85 |
| 50 | 华龙证券 | 89.50 |  |  |  |  |  |  |  | 89.50 | 50 | 84 | 72 |
| 51 | 华融证券 | 89.50 |  |  |  |  |  |  |  | 89.50 | 50 | 2 | 57 |
| 52 | 国都证券 | 91.00 |  |  |  |  |  |  | -2.00 | 89.00 | 52 | 55 | 80 |
| 53 | 国元证券 | 88.00 |  | 1.00 |  |  |  | 1.00 |  | 89.00 | 52 | 19 | 24 |
| 54 | 第一创业 | 88.00 |  |  |  |  |  |  |  | 88.00 | 54 | 10 | 7 |
| 55 | 广州证券 | 86.00 |  | 2.00 |  |  |  | 2.00 |  | 88.00 | 54 | 24 | 63 |
| 56 | 国盛证券 | 88.00 |  |  |  |  |  |  |  | 88.00 | 54 | 77 | 72 |
| 57 | 太平洋证券 | 86.50 |  | 1.00 | 0.50 |  |  | 1.50 |  | 88.00 | 54 | 50\* | 18 |
| 58 | 中金公司 | 88.00 |  |  |  |  |  |  |  | 88.00 | 54 | 2 | 57 |
| 59 | 华林证券 | 88.00 |  |  |  |  |  |  |  | 88.00 | 54 | 71 | 82 |
| 60 | 国开证券 | 88.00 |  |  |  |  |  |  |  | 88.00 | 54 | 36 | 72 |
| 61 | 国金证券 | 85.00 | 0.50 | 2.00 |  |  |  | 2.50 |  | 87.50 | 61 | 61 | 61 |
| 62 | 九州证券 | 87.00 |  |  | 0.50 |  |  | 0.50 |  | 87.50 | 61 | 61 | 39 |
| 63 | 首创证券 | 85.00 |  |  | 0.50 | 1.00 |  | 1.50 |  | 86.50 | 63 | 56 | 55 |
| 64 | 新时代证券 | 86.50 |  |  |  |  |  |  |  | 86.50 | 63 | 36 | 42 |
| 65 | 东兴证券 | 85.00 | 0.50 |  |  |  |  | 0.50 |  | 85.50 | 65 | 22 | 63 |
| 66 | 信达证券 | 85.00 |  |  |  |  |  |  |  | 85.00 | 66 | 71 | 42 |
| 67 | 中信证券 | 83.00 | 0.50 |  | 1.00 | 0.50 |  | 2.00 |  | 85.00 | 66 | 77 | 47 |
| 68 | 国融证券 | 85.00 |  |  |  |  |  |  |  | 85.00 | 66 | 71 | 33 |
| 69 | 华福证券 | 85.00 |  |  |  |  |  |  |  | 85.00 | 66 | 36 | 26 |
| 70 | 东海证券 | 83.50 |  |  |  | 0.50 |  | 0.50 |  | 84.00 | 70 | 24 | 39 |
| 71 | 中原证券 | 83.50 | 0.50 |  |  |  |  | 0.50 |  | 84.00 | 70 | 36 | 78 |
| 72 | 开源证券 | 84.00 |  |  |  |  |  |  |  | 84.00 | 70 | 81 | 61 |
| 73 | 国海证券 | 82.00 |  |  |  |  |  |  |  | 82.00 | 73 | 33 | 51 |
| 74 | 浙商证券 | 82.00 |  |  |  |  |  |  |  | 82.00 | 73 | 65 | 72 |
| 75 | 德邦证券 | 82.00 |  |  |  |  |  |  |  | 82.00 | 73 | 36 | 21 |
| 76 | 恒泰证券 | 81.00 |  |  |  |  |  |  |  | 81.00 | 76 | 71 | 63 |
| 77 | 中银国际 | 79.00 |  | 1.00 |  |  |  | 1.00 |  | 80.00 | 77 | 36 | 42 |
| 78 | 红塔证券 | 79.00 |  |  |  |  |  |  |  | 79.00 | 78 | 36 | 79 |
| 79 | 民族证券 | 79.00 |  |  |  |  |  |  |  | 79.00 | 78 | 71 | 83 |
| 80 | 中航证券 | 79.00 |  |  |  |  |  |  |  | 79.00 | 78 | 79 | 80 |
| 81 | 华鑫证券 | 76.00 |  |  |  |  |  |  |  | 76.00 | 81 | 36 | 29 |
| 82 | 英大证券 | 76.00 |  |  |  |  |  |  |  | 76.00 | 81 | 26 | 57 |
| 83 | 五矿证券 | 76.00 |  |  |  |  |  |  |  | 76.00 | 81 | 2 | 72 |
| 84 | 华信证券 | 76.00 |  |  |  |  |  |  |  | 76.00 | 81 | 79 | 72 |
| 85 | 宏信证券 | 76.00 |  |  |  |  |  |  |  | 76.00 | 81 | 36 | 86 |
| 86 | 万和证券 | 72.00 |  |  |  |  |  |  |  | 72.00 | 86 | 83 | 84 |
| 87 | 长城国瑞 | 60.00 |  |  |  |  |  |  |  | 60.00 | 87 | 87 | 87 |
| 88 | 银泰证券 | 60.00 |  |  |  |  |  |  |  | 60.00 | 87 | 87 | 87 |
| 89 | 华宝证券 | 60.00 |  |  |  |  |  |  |  | 60.00 | 87 | 87 | 87 |
| 90 | 中天证券 | 60.00 |  |  |  |  |  |  |  | 60.00 | 87 | 87 | 87 |
| 91 | 大同证券 | 60.00 |  |  |  |  |  |  |  | 60.00 | 87 | 87 | 87 |
| 92 | 中邮证券 | 60.00 |  |  |  |  |  |  |  | 60.00 | 87 | 87 | 87 |
| 93 | 网信证券 | 60.00 |  |  |  |  |  |  |  | 60.00 | 87 | 87 | 87 |

\*6月评价结果经复议后调整，星号标注为排序变动超过5（包含）位以上。

\*\*4-7月累计评价排序按照复议调整后的参数进行计算所得。

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 [↑](#endnote-ref-1)