附件

主办券商执业质量月度评价结果（2016年9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 | 中信证券 | 0.00 | 0.00 | 0.00 | 0.00 | 4.00 | 151.50 | 189.00 | 151.50 | 1.00 | 1.00 | 1.00 | 1.00 | 30.00 | 30.00 | 30.00 | 10.00 | 100.00 |
| 2 | 东方证券 | 0.00 | 0.00 | 0.00 | 0.00 | 1.00 | 65.00 | 152.00 | 65.00 | 1.00 | 1.00 | 1.00 | 1.00 | 30.00 | 30.00 | 30.00 | 10.00 | 100.00 |
| 3 | 广州证券 | 0.00 | 0.00 | 0.00 | 0.00 | 2.00 | 102.00 | 302.00 | 102.00 | 1.00 | 1.00 | 1.00 | 1.00 | 30.00 | 30.00 | 30.00 | 10.00 | 100.00 |
| 4 | 长江证券 | 0.00 | 0.00 | 0.00 | 0.00 | 4.00 | 270.50 | 223.50 | 270.50 | 1.00 | 1.00 | 1.00 | 1.00 | 30.00 | 30.00 | 30.00 | 10.00 | 100.00 |
| 5 | 中信建投 | 0.00 | 1.00 | 0.00 | 0.00 | 3.00 | 329.50 | 72.00 | 329.50 | 1.00 | 0.85 | 1.00 | 1.00 | 30.00 | 25.50 | 30.00 | 10.00 | 95.50 |
| 6 | 银河证券 | 0.00 | 0.00 | 0.00 | 0.00 | 2.00 | 78.50 | 66.50 | 78.50 | 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 | 33.00 | 24.50 | 33.00 | 1.00 | 1.00 | 1.00 | 1.00 | 30.00 | 30.00 | 30.00 | 10.00 | 100.00 |
| 8 | 第一创业 | 0.00 | 0.00 | 0.00 | 0.00 | 1.00 | 15.50 | 58.00 | 15.50 | 1.00 | 1.00 | 1.00 | 1.00 | 30.00 | 30.00 | 30.00 | 10.00 | 100.00 |
| 9 | 德邦证券 | 0.00 | 0.00 | 0.00 | 0.00 | 1.00 | 38.00 | 37.00 | 38.00 | 1.00 | 1.00 | 1.00 | 1.00 | 30.00 | 30.00 | 30.00 | 10.00 | 100.00 |
| 10 | 光大证券 | 0.00 | 3.00 | 0.00 | 0.00 | 9.00 | 200.50 | 238.00 | 200.50 | 1.00 | 0.80 | 1.00 | 1.00 | 30.00 | 24.00 | 30.00 | 10.00 | 94.00 |
| 11 | 国信证券 | 1.00 | 3.00 | 0.00 | 1.00 | 9.00 | 305.00 | 155.50 | 305.00 | 0.85 | 0.85 | 1.00 | 0.80 | 25.50 | 25.50 | 30.00 | 8.00 | 89.00 |
| 12 | 西部证券 | 1.00 | 0.00 | 0.00 | 0.00 | 5.00 | 176.50 | 105.50 | 176.50 | 0.80 | 1.00 | 1.00 | 1.00 | 24.00 | 30.00 | 30.00 | 10.00 | 94.00 |
| 13 | 华金证券 | 0.00 | 0.00 | 0.00 | 1.00 | 1.00 | 4.50 | 13.00 | 4.50 | 1.00 | 1.00 | 1.00 | 0.60 | 30.00 | 30.00 | 30.00 | 6.00 | 96.00 |
| 14 | 东莞证券 | 0.00 | 1.00 | 0.00 | 1.00 | 5.00 | 160.50 | 176.00 | 160.50 | 1.00 | 0.85 | 1.00 | 0.80 | 30.00 | 25.50 | 30.00 | 8.00 | 93.50 |
| 15 | 川财证券 | 0.00 | 0.00 | 0.00 | 1.00 | 1.00 | 9.00 | 17.00 | 9.00 | 1.00 | 1.00 | 1.00 | 0.60 | 30.00 | 30.00 | 30.00 | 6.00 | 96.00 |
| 16 | 方正证券 | 2.00 | 0.00 | 0.00 | 1.00 | 8.00 | 161.50 | 68.50 | 161.50 | 0.80 | 1.00 | 1.00 | 0.80 | 24.00 | 30.00 | 30.00 | 8.00 | 92.00 |
| 17 | 首创证券 | 0.00 | 1.00 | 0.00 | 0.00 | 1.00 | 77.50 | 62.00 | 77.50 | 1.00 | 0.80 | 1.00 | 1.00 | 30.00 | 24.00 | 30.00 | 10.00 | 94.00 |
| 18 | 大通证券 | 0.00 | 1.00 | 0.00 | 0.00 | 1.00 | 89.00 | 9.00 | 89.00 | 1.00 | 0.80 | 1.00 | 1.00 | 30.00 | 24.00 | 30.00 | 10.00 | 94.00 |
| 19 | 民生证券 | 0.00 | 1.00 | 0.00 | 0.00 | 1.00 | 77.50 | 74.50 | 77.50 | 1.00 | 0.80 | 1.00 | 1.00 | 30.00 | 24.00 | 30.00 | 10.00 | 94.00 |
| 20 | 中泰证券 | 3.00 | 2.00 | 0.00 | 1.00 | 7.00 | 405.00 | 304.50 | 405.00 | 0.80 | 0.85 | 1.00 | 0.80 | 24.00 | 25.50 | 30.00 | 8.00 | 87.50 |
| 21 | 湘财证券 | 0.00 | 1.00 | 0.00 | 0.00 | 3.00 | 71.00 | 17.00 | 71.00 | 1.00 | 0.80 | 1.00 | 1.00 | 30.00 | 24.00 | 30.00 | 10.00 | 94.00 |
| 22 | 中银国际 | 0.00 | 1.00 | 0.00 | 0.00 | 2.00 | 88.00 | 75.00 | 88.00 | 1.00 | 0.80 | 1.00 | 1.00 | 30.00 | 24.00 | 30.00 | 10.00 | 94.00 |
| 23 | 申万宏源 | 4.00 | 2.00 | 0.00 | 0.00 | 8.00 | 621.00 | 271.50 | 621.00 | 0.70 | 0.85 | 1.00 | 1.00 | 21.00 | 25.50 | 30.00 | 10.00 | 86.50 |
| 24 | 广发证券 | 0.00 | 1.00 | 10.00 | 0.00 | 2.00 | 274.50 | 201.00 | 274.50 | 1.00 | 0.85 | 0.70 | 1.00 | 30.00 | 25.50 | 21.00 | 10.00 | 86.50 |
| 25 | 国金证券 | 0.00 | 4.00 | 0.00 | 1.00 | 5.00 | 158.00 | 30.00 | 158.00 | 1.00 | 0.70 | 1.00 | 0.80 | 30.00 | 21.00 | 30.00 | 8.00 | 89.00 |
| 26 | 天风证券 | 1.00 | 0.00 | 0.00 | 1.00 | 3.00 | 115.50 | 244.50 | 115.50 | 0.80 | 1.00 | 1.00 | 0.80 | 24.00 | 30.00 | 30.00 | 8.00 | 92.00 |
| 27 | 东北证券 | 1.00 | 2.00 | 0.00 | 2.00 | 6.00 | 253.50 | 96.50 | 253.50 | 0.80 | 0.85 | 1.00 | 0.80 | 24.00 | 25.50 | 30.00 | 8.00 | 87.50 |
| 28 | 太平洋证券 | 0.00 | 3.00 | 0.00 | 0.00 | 7.00 | 110.50 | 83.00 | 110.50 | 1.00 | 0.70 | 1.00 | 1.00 | 30.00 | 21.00 | 30.00 | 10.00 | 91.00 |
| 29 | 上海证券 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 72.50 | 260.00 | 72.50 | 0.60 | 1.00 | 1.00 | 1.00 | 18.00 | 30.00 | 30.00 | 10.00 | 88.00 |
| 30 | 东吴证券 | 1.00 | 2.00 | 0.00 | 1.00 | 8.00 | 260.50 | 172.50 | 260.50 | 0.80 | 0.85 | 1.00 | 0.80 | 24.00 | 25.50 | 30.00 | 8.00 | 87.50 |
| 31 | 华龙证券 | 0.00 | 2.00 | 0.00 | 0.00 | 4.00 | 56.50 | 14.50 | 56.50 | 1.00 | 0.70 | 1.00 | 1.00 | 30.00 | 21.00 | 30.00 | 10.00 | 91.00 |
| 32 | 金元证券 | 1.00 | 0.00 | 0.00 | 1.00 | 4.00 | 78.50 | 58.50 | 78.50 | 0.80 | 1.00 | 1.00 | 0.70 | 24.00 | 30.00 | 30.00 | 7.00 | 91.00 |
| 33 | 浙商证券 | 0.00 | 3.00 | 0.00 | 0.00 | 3.00 | 94.00 | 104.00 | 94.00 | 1.00 | 0.70 | 1.00 | 1.00 | 30.00 | 21.00 | 30.00 | 10.00 | 91.00 |
| 34 | 中原证券 | 0.00 | 0.00 | 1.00 | 0.00 | 3.00 | 102.50 | 132.50 | 102.50 | 1.00 | 1.00 | 0.70 | 1.00 | 30.00 | 30.00 | 21.00 | 10.00 | 91.00 |
| 35 | 华林证券 | 0.00 | 0.00 | 1.00 | 0.00 | 1.00 | 59.50 | 41.00 | 59.50 | 1.00 | 1.00 | 0.70 | 1.00 | 30.00 | 30.00 | 21.00 | 10.00 | 91.00 |
| 36 | 海通证券 | 2.00 | 0.00 | 0.00 | 1.00 | 3.00 | 136.00 | 185.00 | 136.00 | 0.70 | 1.00 | 1.00 | 0.80 | 21.00 | 30.00 | 30.00 | 8.00 | 89.00 |
| 37 | 招商证券 | 2.00 | 2.00 | 0.00 | 1.00 | 4.00 | 266.00 | 188.50 | 266.00 | 0.70 | 0.85 | 1.00 | 0.80 | 21.00 | 25.50 | 30.00 | 8.00 | 84.50 |
| 38 | 东兴证券 | 0.00 | 2.00 | 0.00 | 3.00 | 2.00 | 128.00 | 94.50 | 128.00 | 1.00 | 0.80 | 1.00 | 0.60 | 30.00 | 24.00 | 30.00 | 6.00 | 90.00 |
| 39 | 国都证券 | 0.00 | 0.00 | 1.00 | 1.00 | 1.00 | 45.00 | 52.00 | 45.00 | 1.00 | 1.00 | 0.70 | 0.70 | 30.00 | 30.00 | 21.00 | 7.00 | 88.00 |
| 40 | 兴业证券 | 1.00 | 2.00 | 0.00 | 4.00 | 8.00 | 243.50 | 285.00 | 243.50 | 0.80 | 0.85 | 1.00 | 0.70 | 24.00 | 25.50 | 30.00 | 7.00 | 86.50 |
| 41 | 华创证券 | 0.00 | 2.00 | 0.00 | 1.00 | 3.00 | 78.50 | 19.50 | 78.50 | 1.00 | 0.70 | 1.00 | 0.70 | 30.00 | 21.00 | 30.00 | 7.00 | 88.00 |
| 42 | 国联证券 | 0.00 | 3.00 | 0.00 | 1.00 | 4.00 | 87.00 | 54.50 | 87.00 | 1.00 | 0.70 | 1.00 | 0.70 | 30.00 | 21.00 | 30.00 | 7.00 | 88.00 |
| 43 | 华融证券 | 0.00 | 0.00 | 1.00 | 1.00 | 1.00 | 68.50 | 147.00 | 68.50 | 1.00 | 1.00 | 0.70 | 0.70 | 30.00 | 30.00 | 21.00 | 7.00 | 88.00 |
| 44 | 西南证券 | 2.00 | 3.00 | 0.00 | 1.00 | 6.00 | 197.50 | 60.00 | 197.50 | 0.80 | 0.80 | 1.00 | 0.80 | 24.00 | 24.00 | 30.00 | 8.00 | 86.00 |
| 45 | 国融证券 | 2.00 | 2.00 | 0.00 | 0.00 | 8.00 | 86.50 | 14.00 | 86.50 | 0.80 | 0.80 | 1.00 | 1.00 | 24.00 | 24.00 | 30.00 | 10.00 | 88.00 |
| 46 | 财达证券 | 0.00 | 2.00 | 0.00 | 1.00 | 1.00 | 66.50 | 48.00 | 66.50 | 1.00 | 0.70 | 1.00 | 0.70 | 30.00 | 21.00 | 30.00 | 7.00 | 88.00 |
| 47 | 财通证券 | 2.00 | 3.00 | 0.00 | 1.00 | 4.00 | 169.00 | 72.50 | 169.00 | 0.70 | 0.80 | 1.00 | 0.80 | 21.00 | 24.00 | 30.00 | 8.00 | 83.00 |
| 48 | 九州证券 | 0.00 | 1.00 | 0.00 | 0.00 | 1.00 | 12.00 | 226.50 | 12.00 | 1.00 | 0.60 | 1.00 | 1.00 | 30.00 | 18.00 | 30.00 | 10.00 | 88.00 |
| 49 | 红塔证券 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 12.00 | 35.00 | 12.00 | 0.60 | 1.00 | 1.00 | 1.00 | 18.00 | 30.00 | 30.00 | 10.00 | 88.00 |
| 50 | 华安证券 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 40.50 | 132.50 | 40.50 | 0.60 | 1.00 | 1.00 | 1.00 | 18.00 | 30.00 | 30.00 | 10.00 | 88.00 |
| 51 | 华西证券 | 1.00 | 0.00 | 0.00 | 0.00 | 0.00 | 45.00 | 2.00 | 45.00 | 0.60 | 1.00 | 1.00 | 1.00 | 18.00 | 30.00 | 30.00 | 10.00 | 88.00 |
| 52 | 世纪证券 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 13.00 | 99.00 | 13.00 | 0.60 | 1.00 | 1.00 | 1.00 | 18.00 | 30.00 | 30.00 | 10.00 | 88.00 |
| 53 | 信达证券 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 44.00 | 72.50 | 44.00 | 0.60 | 1.00 | 1.00 | 1.00 | 18.00 | 30.00 | 30.00 | 10.00 | 88.00 |
| 54 | 中航证券 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 19.50 | 7.00 | 19.50 | 0.60 | 1.00 | 1.00 | 1.00 | 18.00 | 30.00 | 30.00 | 10.00 | 88.00 |
| 55 | 中金公司 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 13.00 | 26.00 | 13.00 | 0.60 | 1.00 | 1.00 | 1.00 | 18.00 | 30.00 | 30.00 | 10.00 | 88.00 |
| 56 | 华鑫证券 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 32.50 | 43.00 | 32.50 | 0.60 | 1.00 | 1.00 | 1.00 | 18.00 | 30.00 | 30.00 | 10.00 | 88.00 |
| 57 | 国开证券 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 7.00 | 15.50 | 7.00 | 0.60 | 1.00 | 1.00 | 1.00 | 18.00 | 30.00 | 30.00 | 10.00 | 88.00 |
| 58 | 联讯证券 | 1.00 | 0.00 | 0.00 | 0.00 | 1.00 | 33.00 | 181.00 | 33.00 | 0.60 | 1.00 | 1.00 | 1.00 | 18.00 | 30.00 | 30.00 | 10.00 | 88.00 |
| 59 | 华信证券 | 0.00 | 0.00 | 0.00 | 0.00 | 1.00 | 6.00 | 0.00 | 6.00 | 1.00 | 1.00 | 0.60 | 1.00 | 30.00 | 30.00 | 18.00 | 10.00 | 88.00 |
| 60 | 国泰君安 | 0.00 | 1.00 | 0.00 | 0.00 | 0.00 | 239.50 | 203.00 | 239.50 | 0.60 | 0.85 | 1.00 | 1.00 | 18.00 | 25.50 | 30.00 | 10.00 | 83.50 |
| 61 | 国海证券 | 0.00 | 9.00 | 0.00 | 1.00 | 4.00 | 113.00 | 157.50 | 113.00 | 1.00 | 0.60 | 1.00 | 0.80 | 30.00 | 18.00 | 30.00 | 8.00 | 86.00 |
| 62 | 五矿证券 | 0.00 | 1.00 | 0.00 | 0.00 | 1.00 | 24.50 | 8.50 | 24.50 | 1.00 | 0.60 | 1.00 | 1.00 | 30.00 | 18.00 | 30.00 | 10.00 | 88.00 |
| 63 | 开源证券 | 1.00 | 0.00 | 0.00 | 1.00 | 2.00 | 10.00 | 129.00 | 10.00 | 0.70 | 1.00 | 1.00 | 0.60 | 21.00 | 30.00 | 30.00 | 6.00 | 87.00 |
| 64 | 中投证券 | 0.00 | 0.00 | 0.00 | 1.00 | 0.00 | 68.50 | 186.50 | 68.50 | 0.60 | 1.00 | 1.00 | 0.70 | 18.00 | 30.00 | 30.00 | 7.00 | 85.00 |
| 65 | 国盛证券 | 1.00 | 0.00 | 0.00 | 1.00 | 1.00 | 52.00 | 17.00 | 52.00 | 0.60 | 1.00 | 1.00 | 0.70 | 18.00 | 30.00 | 30.00 | 7.00 | 85.00 |
| 66 | 民族证券 | 1.00 | 0.00 | 0.00 | 0.00 | 1.00 | 33.50 | 11.00 | 33.50 | 0.60 | 1.00 | 1.00 | 1.00 | 18.00 | 30.00 | 30.00 | 10.00 | 88.00 |
| 67 | 长城证券 | 0.00 | 1.00 | 1.00 | 1.00 | 1.00 | 84.50 | 20.00 | 84.50 | 1.00 | 0.80 | 0.70 | 0.70 | 30.00 | 24.00 | 21.00 | 7.00 | 82.00 |
| 68 | 江海证券 | 1.00 | 1.00 | 0.00 | 0.00 | 1.00 | 50.50 | 30.50 | 50.50 | 0.60 | 0.80 | 1.00 | 1.00 | 18.00 | 24.00 | 30.00 | 10.00 | 82.00 |
| 69 | 新时代证券 | 1.00 | 1.00 | 1.00 | 0.00 | 6.00 | 95.50 | 37.50 | 95.50 | 0.80 | 0.85 | 0.70 | 1.00 | 24.00 | 25.50 | 21.00 | 10.00 | 80.50 |
| 70 | 南京证券 | 0.00 | 2.00 | 0.00 | 0.00 | 0.00 | 66.50 | 79.50 | 66.50 | 0.60 | 0.70 | 1.00 | 1.00 | 18.00 | 21.00 | 30.00 | 10.00 | 79.00 |
| 71 | 万联证券 | 1.00 | 2.00 | 0.00 | 0.00 | 0.00 | 53.50 | 172.00 | 53.50 | 0.60 | 0.70 | 1.00 | 1.00 | 18.00 | 21.00 | 30.00 | 10.00 | 79.00 |
| 72 | 中山证券 | 0.00 | 0.00 | 1.00 | 0.00 | 0.00 | 87.00 | 207.50 | 87.00 | 0.60 | 1.00 | 0.70 | 1.00 | 18.00 | 30.00 | 21.00 | 10.00 | 79.00 |
| 73 | 华泰证券 | 0.00 | 1.00 | 0.00 | 1.00 | 0.00 | 73.00 | 66.50 | 73.00 | 0.60 | 0.80 | 1.00 | 0.70 | 18.00 | 24.00 | 30.00 | 7.00 | 79.00 |
| 74 | 山西证券 | 0.00 | 1.00 | 0.00 | 1.00 | 0.00 | 71.50 | 94.00 | 71.50 | 0.60 | 0.80 | 1.00 | 0.70 | 18.00 | 24.00 | 30.00 | 7.00 | 79.00 |
| 75 | 英大证券 | 0.00 | 1.00 | 0.00 | 0.00 | 0.00 | 35.00 | 17.50 | 35.00 | 0.60 | 0.70 | 1.00 | 1.00 | 18.00 | 21.00 | 30.00 | 10.00 | 79.00 |
| 76 | 东方财富 | 0.00 | 1.00 | 0.00 | 0.00 | 0.00 | 26.00 | 16.00 | 26.00 | 0.60 | 0.70 | 1.00 | 1.00 | 18.00 | 21.00 | 30.00 | 10.00 | 79.00 |
| 77 | 安信证券 | 2.00 | 2.00 | 134.00 | 1.00 | 15.00 | 452.50 | 141.50 | 452.50 | 0.80 | 0.85 | 0.60 | 0.80 | 24.00 | 25.50 | 18.00 | 8.00 | 75.50 |
| 78 | 财富证券 | 1.00 | 1.00 | 0.00 | 0.00 | 1.00 | 43.00 | 71.00 | 43.00 | 0.60 | 0.80 | 1.00 | 1.00 | 18.00 | 24.00 | 30.00 | 10.00 | 82.00 |
| 79 | 爱建证券 | 0.00 | 1.00 | 1.00 | 0.00 | 1.00 | 13.50 | 13.00 | 13.50 | 1.00 | 0.60 | 0.60 | 1.00 | 30.00 | 18.00 | 18.00 | 10.00 | 76.00 |
| 80 | 东海证券 | 1.00 | 0.00 | 3.00 | 0.00 | 1.00 | 74.50 | 29.00 | 74.50 | 0.60 | 1.00 | 0.60 | 1.00 | 18.00 | 30.00 | 18.00 | 10.00 | 76.00 |
| 81 | 国元证券 | 0.00 | 2.00 | 2.00 | 0.00 | 0.00 | 100.00 | 37.00 | 100.00 | 0.60 | 0.80 | 0.70 | 1.00 | 18.00 | 24.00 | 21.00 | 10.00 | 73.00 |
| 82 | 恒泰证券 | 1.00 | 1.00 | 1.00 | 1.00 | 2.00 | 54.00 | 105.50 | 54.00 | 0.70 | 0.80 | 0.70 | 0.70 | 21.00 | 24.00 | 21.00 | 7.00 | 73.00 |
| 83 | 长城国瑞 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 1.00 | 0.00 | 0.60 | 0.60 | 1.00 | 0.60 | 18.00 | 18.00 | 30.00 | 6.00 | 72.00 |
| 84 | 万和证券 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 29.50 | 0.00 | 0.60 | 0.60 | 1.00 | 0.60 | 18.00 | 18.00 | 30.00 | 6.00 | 72.00 |
| 85 | 宏信证券 | 0.00 | 0.00 | 3.00 | 0.00 | 0.00 | 6.00 | 3.00 | 6.00 | 0.60 | 1.00 | 0.60 | 1.00 | 18.00 | 30.00 | 18.00 | 10.00 | 76.00 |
| 86 | 平安证券 | 0.00 | 3.00 | 1.00 | 0.00 | 0.00 | 77.50 | 41.50 | 77.50 | 0.60 | 0.70 | 0.70 | 1.00 | 18.00 | 21.00 | 21.00 | 10.00 | 70.00 |
| 87 | 华福证券 | 1.00 | 2.00 | 3.00 | 0.00 | 1.00 | 54.50 | 102.00 | 54.50 | 0.60 | 0.70 | 0.70 | 1.00 | 18.00 | 21.00 | 21.00 | 10.00 | 70.00 |
| 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 |
| 94 | 海际证券 | 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 |
| 95 | 联储证券 | 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** | **9月排序** | **8月排序** | **4-9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 | 中信证券 | 100.00 | 0.50 | 3.00 | 1.50 | 0.50 |  | 5.50 | 0.00 | 105.50 | 1 | 23 | 46 |
| 2 | 东方证券 | 100.00 |  |  | 1.50 | 1.00 |  | 2.50 | 0.00 | 102.50 | 2 | 28 | 9 |
| 3 | 广州证券 | 100.00 |  | 2.00 |  |  |  | 2.00 | 0.00 | 102.00 | 3 | 18 | 41 |
| 4 | 长江证券 | 100.00 | 1.00 |  | 0.50 |  |  | 1.50 | 0.00 | 101.50 | 4 | 46 | 14 |
| 5 | 中信建投 | 95.50 | 2.00 | 3.00 | 0.50 |  |  | 5.50 | 0.00 | 101.00 | 5 | 9 | 3 |
| 6 | 银河证券 | 100.00 |  |  |  | 0.50 |  | 0.50 | 0.00 | 100.50 | 6 | 3 | 4 |
| 7 | 渤海证券 | 100.00 |  |  |  |  |  | 0.00 | 0.00 | 100.00 | 7 | 38 | 21 |
| 8 | 第一创业 | 100.00 |  |  |  |  |  | 0.00 | 0.00 | 100.00 | 7 | 70 | 23 |
| 9 | 德邦证券 | 100.00 |  |  |  |  |  | 0.00 | 0.00 | 100.00 | 7 | 70 | 14 |
| 10 | 光大证券 | 94.00 | 0.50 | 2.00 |  |  |  | 2.50 | 0.00 | 96.50 | 10 | 33 | 7 |
| 11 | 国信证券 | 89.00 | 2.00 | 3.00 | 1.00 | 1.50 |  | 7.50 | 0.00 | 96.50 | 10 | 15 | 20 |
| 12 | 西部证券 | 94.00 | 0.50 | 2.00 |  |  |  | 2.50 | 0.00 | 96.50 | 10 | 23 | 39 |
| 13 | 华金证券 | 96.00 |  |  |  | 0.50 |  | 0.50 | 0.00 | 96.50 | 10 | 38 | 11 |
| 14 | 东莞证券 | 93.50 | 0.50 |  |  |  | 2.00 | 2.50 | 0.00 | 96.00 | 14 | 46 | 64 |
| 15 | 川财证券 | 96.00 |  |  |  |  |  | 0.00 | 0.00 | 96.00 | 14 | 61 | 59 |
| 16 | 方正证券 | 92.00 |  |  |  | 1.50 | 2.00 | 3.50 | 0.00 | 95.50 | 16 | 17 | 21 |
| 17 | 首创证券 | 94.00 |  |  | 0.50 | 1.00 |  | 1.50 | 0.00 | 95.50 | 16 | 1 | 42 |
| 18 | 大通证券 | 94.00 |  |  |  | 1.00 |  | 1.00 | 0.00 | 95.00 | 18 | 15 | 32 |
| 19 | 民生证券 | 94.00 |  |  |  |  |  | 0.00 | 0.00 | 94.00 | 19 | 38 | 46 |
| 20 | 中泰证券 | 87.50 | 2.00 | 3.00 | 1.50 |  |  | 6.50 | 0.00 | 94.00 | 19 | 27 | 2 |
| 21 | 湘财证券 | 94.00 |  |  |  |  |  | 0.00 | 0.00 | 94.00 | 19 | 58 | 32 |
| 22 | 中银国际 | 94.00 |  |  |  |  |  | 0.00 | 0.00 | 94.00 | 19 | 76 | 34 |
| 23 | 申万宏源 | 86.50 | 2.00 | 3.00 | 0.50 | 1.50 |  | 7.00 | 0.00 | 93.50 | 23 | 8 | 5 |
| 24 | 广发证券 | 86.50 | 2.00 | 3.00 | 1.00 | 0.50 |  | 6.50 | 0.00 | 93.00 | 24 | 32 | 17 |
| 25 | 国金证券 | 89.00 | 0.50 | 3.00 |  |  |  | 3.50 | 0.00 | 92.50 | 25 | 33 | 46 |
| 26 | 天风证券 | 92.00 |  | 1.00 | 0.50 |  |  | 1.50 | -1.00 | 92.50 | 25 | 49 | 27 |
| 27 | 东北证券 | 87.50 | 1.00 | 1.00 | 0.50 |  | 2.00 | 4.50 | 0.00 | 92.00 | 27 | 46 | 10 |
| 28 | 太平洋证券 | 91.00 |  |  |  | 0.50 |  | 0.50 | 0.00 | 91.50 | 28 | 67 | 17 |
| 29 | 上海证券 | 88.00 |  | 2.00 | 1.50 |  |  | 3.50 | 0.00 | 91.50 | 28 | 49 | 11 |
| 30 | 东吴证券 | 87.50 | 0.50 | 1.00 |  |  | 2.00 | 3.50 | 0.00 | 91.00 | 30 | 35 | 23 |
| 31 | 华龙证券 | 91.00 |  |  |  |  |  | 0.00 | 0.00 | 91.00 | 30 | 4 | 59 |
| 32 | 金元证券 | 91.00 |  |  |  |  |  | 0.00 | 0.00 | 91.00 | 30 | 61 | 28 |
| 33 | 浙商证券 | 91.00 |  |  |  |  |  | 0.00 | 0.00 | 91.00 | 30 | 70 | 76 |
| 34 | 中原证券 | 91.00 |  |  |  |  |  | 0.00 | 0.00 | 91.00 | 30 | 23 | 68 |
| 35 | 华林证券 | 91.00 |  |  |  |  |  | 0.00 | 0.00 | 91.00 | 30 | 61\* | 73 |
| 36 | 海通证券 | 89.00 | 0.50 |  | 1.00 |  |  | 1.50 | 0.00 | 90.50 | 36 | 12 | 23 |
| 37 | 招商证券 | 84.50 | 1.00 | 1.00 | 1.00 | 1.00 | 2.00 | 6.00 | 0.00 | 90.50 | 36 | 20 | 13 |
| 38 | 东兴证券 | 90.00 |  |  |  |  |  | 0.00 | 0.00 | 90.00 | 38 | 70 | 78 |
| 39 | 国都证券 | 88.00 |  | 2.00 |  |  |  | 2.00 | 0.00 | 90.00 | 38 | 4 | 70 |
| 40 | 兴业证券 | 86.50 | 0.50 |  | 1.00 |  | 2.00 | 3.50 | 0.00 | 90.00 | 38 | 21\* | 30 |
| 41 | 华创证券 | 88.00 |  |  |  | 1.50 |  | 1.50 | 0.00 | 89.50 | 41 | 66 | 72 |
| 42 | 国联证券 | 88.00 |  |  |  | 1.00 |  | 1.00 | 0.00 | 89.00 | 42 | 60 | 50 |
| 43 | 华融证券 | 88.00 |  | 1.00 |  |  |  | 1.00 | 0.00 | 89.00 | 42 | 13 | 39 |
| 44 | 西南证券 | 86.00 | 0.50 | 2.00 |  | 0.50 |  | 3.00 | 0.00 | 89.00 | 42 | 21 | 7 |
| 45 | 国融证券 | 88.00 |  | 1.00 |  |  |  | 1.00 | 0.00 | 89.00 | 42 | 85 | 68 |
| 46 | 财达证券 | 88.00 |  | 1.00 |  |  |  | 1.00 | 0.00 | 89.00 | 42 | 61 | 53 |
| 47 | 财通证券 | 83.00 | 0.50 | 3.00 |  |  | 2.00 | 5.50 | 0.00 | 88.50 | 47 | 49 | 34 |
| 48 | 九州证券 | 88.00 |  |  | 0.50 |  |  | 0.50 | 0.00 | 88.50 | 47 | 35 | 59 |
| 49 | 红塔证券 | 88.00 |  |  |  |  |  | 0.00 | 0.00 | 88.00 | 49 | 10 | 64 |
| 50 | 华安证券 | 88.00 |  |  |  |  |  | 0.00 | 0.00 | 88.00 | 49 | 54 | 14 |
| 51 | 华西证券 | 88.00 |  |  |  |  |  | 0.00 | 0.00 | 88.00 | 49 | 38 | 55 |
| 52 | 世纪证券 | 88.00 |  |  |  |  |  | 0.00 | 0.00 | 88.00 | 49 | 38 | 1 |
| 53 | 信达证券 | 88.00 |  |  |  |  |  | 0.00 | 0.00 | 88.00 | 49 | 28 | 28 |
| 54 | 中航证券 | 88.00 |  |  |  |  |  | 0.00 | 0.00 | 88.00 | 49 | 10 | 81 |
| 55 | 中金公司 | 88.00 |  |  |  |  |  | 0.00 | 0.00 | 88.00 | 49 | 55 | 77 |
| 56 | 华鑫证券 | 88.00 |  |  |  |  |  | 0.00 | 0.00 | 88.00 | 49 | 38 | 23 |
| 57 | 国开证券 | 88.00 |  |  |  |  |  | 0.00 | 0.00 | 88.00 | 49 | 38 | 59 |
| 58 | 联讯证券 | 88.00 |  |  |  |  |  | 0.00 | 0.00 | 88.00 | 49 | 4 | 50 |
| 59 | 华信证券 | 88.00 |  |  |  |  |  | 0.00 | 0.00 | 88.00 | 49 | 79 | 73 |
| 60 | 国泰君安 | 83.50 | 1.00 |  | 1.50 | 1.50 |  | 4.00 | 0.00 | 87.50 | 60 | 35 | 6 |
| 61 | 国海证券 | 86.00 |  | 2.00 |  |  |  | 2.00 | -1.00 | 87.00 | 61 | 87 | 84 |
| 62 | 五矿证券 | 88.00 |  |  |  |  |  | 0.00 | -1.00 | 87.00 | 61 | 4 | 73 |
| 63 | 开源证券 | 87.00 |  |  |  |  |  | 0.00 | 0.00 | 87.00 | 61 | 55 | 55 |
| 64 | 中投证券 | 85.00 |  | 1.00 |  |  |  | 1.00 | 0.00 | 86.00 | 64 | 28 | 64 |
| 65 | 国盛证券 | 85.00 |  |  |  |  |  | 0.00 | 0.00 | 85.00 | 65 | 28 | 59 |
| 66 | 民族证券 | 88.00 |  |  |  |  |  | 0.00 | -5.00 | 83.00 | 66 | 68 | 86 |
| 67 | 长城证券 | 82.00 |  | 1.00 |  |  |  | 1.00 | 0.00 | 83.00 | 66 | 79 | 64 |
| 68 | 江海证券 | 82.00 |  |  |  |  |  | 0.00 | 0.00 | 82.00 | 68 | 85 | 50 |
| 69 | 新时代证券 | 80.50 |  | 1.00 |  |  |  | 1.00 | 0.00 | 81.50 | 69 | 52 | 34 |
| 70 | 南京证券 | 79.00 |  | 2.00 |  |  |  | 2.00 | 0.00 | 81.00 | 70 | 61 | 34 |
| 71 | 万联证券 | 79.00 |  |  | 0.50 |  |  | 0.50 | 0.00 | 79.50 | 71 | 52 | 17 |
| 72 | 中山证券 | 79.00 |  | 1.00 | 0.50 |  |  | 1.50 | -1.00 | 79.50 | 71 | 58 | 38 |
| 73 | 华泰证券 | 79.00 |  |  |  |  |  | 0.00 | 0.00 | 79.00 | 73 | 75 | 30 |
| 74 | 山西证券 | 79.00 |  |  |  |  |  | 0.00 | 0.00 | 79.00 | 73 | 26 | 42 |
| 75 | 英大证券 | 79.00 |  |  |  |  |  | 0.00 | 0.00 | 79.00 | 73 | 70 | 44 |
| 76 | 东方财富 | 79.00 |  |  |  |  |  | 0.00 | 0.00 | 79.00 | 73 | 79 | 85 |
| 77 | 安信证券 | 75.50 | 1.00 |  | 0.50 | 0.50 |  | 2.00 | 0.00 | 77.50 | 77 | 19 | 53 |
| 78 | 财富证券 | 82.00 |  |  |  |  |  | 0.00 | -5.00 | 77.00 | 78 | 38 | 44 |
| 79 | 爱建证券 | 76.00 |  |  |  | 0.50 |  | 0.50 | 0.00 | 76.50 | 79 | 78 | 79 |
| 80 | 东海证券 | 76.00 |  |  |  |  |  | 0.00 | 0.00 | 76.00 | 80 | 1 | 46 |
| 81 | 国元证券 | 73.00 |  |  |  |  |  | 0.00 | 0.00 | 73.00 | 81 | 13 | 55 |
| 82 | 恒泰证券 | 73.00 |  |  |  |  |  | 0.00 | 0.00 | 73.00 | 81 | 68 | 70 |
| 83 | 长城国瑞 | 72.00 |  |  |  | 0.50 |  | 0.50 | 0.00 | 72.50 | 83 | 83 | 81 |
| 84 | 万和证券 | 72.00 |  |  |  |  |  | 0.00 | 0.00 | 72.00 | 84 | 83 | 81 |
| 85 | 宏信证券 | 76.00 |  |  |  |  |  | 0.00 | -5.00 | 71.00 | 85 | 76 | 87 |
| 86 | 平安证券 | 70.00 |  |  |  | 0.50 |  | 0.50 | 0.00 | 70.50 | 86 | 57 | 79 |
| 87 | 华福证券 | 70.00 |  |  |  |  |  | 0.00 | 0.00 | 70.00 | 87 | 82 | 55 |
| 88 | 银泰证券 | 60.00 |  |  |  |  |  | 0.00 | 0.00 | 60.00 | 88 | 88 | 88 |
| 89 | 华宝证券 | 60.00 |  |  |  |  |  | 0.00 | 0.00 | 60.00 | 88 | 88 | 88 |
| 90 | 中天证券 | 60.00 |  |  |  |  |  | 0.00 | 0.00 | 60.00 | 88 | 88 | 88 |
| 91 | 大同证券 | 60.00 |  |  |  |  |  | 0.00 | 0.00 | 60.00 | 88 | 88 | 88 |
| 92 | 中邮证券 | 60.00 |  |  |  |  |  | 0.00 | 0.00 | 60.00 | 88 | 88 | 88 |
| 93 | 网信证券 | 60.00 |  |  |  |  |  | 0.00 | 0.00 | 60.00 | 88 | 88 | 88 |
| 94 | 海际证券 | 60.00 |  |  |  |  |  | 0.00 | 0.00 | 60.00 | 88 | 88 | 88 |
| 95 | 联储证券 | 60.00 |  |  |  |  |  | 0.00 | 0.00 | 60.00 | 88 | 88 | 88 |

\*8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。

\*\*4-9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)