附件

主办券商执业质量月度评价结果（2017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 | 方正证券 | 0.00 | 0.00 | 0.00 | 0.00 | 2.00 | 233.00 | 53.50 | 233.00 | 1.00 | 1.00 | 1.00 | 1.00 | 30.00 | 30.00 | 30.00 | 10.00 | 100.00 |
| 2 | 首创证券 | 0.00 | 0.00 | 0.00 | 0.00 | 2.00 | 96.00 | 67.00 | 96.00 | 1.00 | 1.00 | 1.00 | 1.00 | 30.00 | 30.00 | 30.00 | 10.00 | 100.00 |
| 3 | 招商证券 | 0.00 | 3.00 | 0.00 | 0.00 | 2.00 | 397.00 | 150.00 | 397.00 | 1.00 | 0.80 | 1.00 | 1.00 | 30.00 | 24.00 | 30.00 | 10.00 | 94.00 |
| 4 | 万联证券 | 0.00 | 0.00 | 0.00 | 0.00 | 3.00 | 81.00 | 128.00 | 81.00 | 1.00 | 1.00 | 1.00 | 1.00 | 30.00 | 30.00 | 30.00 | 10.00 | 100.00 |
| 5 | 渤海证券 | 0.00 | 0.00 | 0.00 | 0.00 | 1.00 | 49.00 | 48.00 | 49.00 | 1.00 | 1.00 | 1.00 | 1.00 | 30.00 | 30.00 | 30.00 | 10.00 | 100.00 |
| 6 | 华龙证券 | 0.00 | 0.00 | 0.00 | 0.00 | 1.00 | 93.50 | 39.50 | 93.50 | 1.00 | 1.00 | 1.00 | 1.00 | 30.00 | 30.00 | 30.00 | 10.00 | 100.00 |
| 7 | 财达证券 | 0.00 | 0.00 | 0.00 | 0.00 | 4.00 | 90.00 | 48.50 | 90.00 | 1.00 | 1.00 | 1.00 | 1.00 | 30.00 | 30.00 | 30.00 | 10.00 | 100.00 |
| 8 | 长江证券 | 0.00 | 1.00 | 0.00 | 0.00 | 3.00 | 345.50 | 200.00 | 345.50 | 1.00 | 0.85 | 1.00 | 1.00 | 30.00 | 25.50 | 30.00 | 10.00 | 95.50 |
| 9 | 中信建投 | 0.00 | 1.00 | 0.00 | 1.00 | 1.00 | 384.00 | 77.50 | 384.00 | 1.00 | 0.85 | 1.00 | 0.70 | 30.00 | 25.50 | 30.00 | 7.00 | 92.50 |
| 10 | 申万宏源 | 1.00 | 4.00 | 0.00 | 0.00 | 5.00 | 661.50 | 241.00 | 661.50 | 0.85 | 0.80 | 1.00 | 1.00 | 25.50 | 24.00 | 30.00 | 10.00 | 89.50 |
| 11 | 中泰证券 | 0.00 | 1.00 | 0.00 | 1.00 | 5.00 | 478.50 | 248.50 | 478.50 | 1.00 | 0.85 | 1.00 | 0.70 | 30.00 | 25.50 | 30.00 | 7.00 | 92.50 |
| 12 | 广发证券 | 2.00 | 0.00 | 0.00 | 0.00 | 1.00 | 313.50 | 179.50 | 313.50 | 0.60 | 1.00 | 1.00 | 1.00 | 18.00 | 30.00 | 30.00 | 10.00 | 88.00 |
| 13 | 开源证券 | 5.00 | 0.00 | 0.00 | 0.00 | 7.00 | 122.00 | 117.00 | 122.00 | 0.80 | 1.00 | 1.00 | 1.00 | 24.00 | 30.00 | 30.00 | 10.00 | 94.00 |
| 14 | 兴业证券 | 1.00 | 1.00 | 0.00 | 0.00 | 4.00 | 332.00 | 278.00 | 332.00 | 0.85 | 0.85 | 1.00 | 1.00 | 25.50 | 25.50 | 30.00 | 10.00 | 91.00 |
| 15 | 天风证券 | 0.00 | 1.00 | 0.00 | 0.00 | 3.00 | 149.00 | 199.00 | 149.00 | 1.00 | 0.80 | 1.00 | 1.00 | 30.00 | 24.00 | 30.00 | 10.00 | 94.00 |
| 16 | 海通证券 | 0.00 | 1.00 | 0.00 | 0.00 | 3.00 | 161.50 | 151.00 | 161.50 | 1.00 | 0.80 | 1.00 | 1.00 | 30.00 | 24.00 | 30.00 | 10.00 | 94.00 |
| 17 | 东北证券 | 1.00 | 2.00 | 0.00 | 0.00 | 3.00 | 340.00 | 164.00 | 340.00 | 0.85 | 0.80 | 1.00 | 1.00 | 25.50 | 24.00 | 30.00 | 10.00 | 89.50 |
| 18 | 光大证券 | 1.00 | 2.00 | 0.00 | 0.00 | 2.00 | 247.50 | 165.50 | 247.50 | 0.80 | 0.80 | 1.00 | 1.00 | 24.00 | 24.00 | 30.00 | 10.00 | 88.00 |
| 19 | 华安证券 | 0.00 | 2.00 | 0.00 | 0.00 | 1.00 | 77.00 | 129.50 | 77.00 | 1.00 | 0.70 | 1.00 | 1.00 | 30.00 | 21.00 | 30.00 | 10.00 | 91.00 |
| 20 | 中信证券 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 95.00 | 168.50 | 95.00 | 0.60 | 1.00 | 1.00 | 1.00 | 18.00 | 30.00 | 30.00 | 10.00 | 88.00 |
| 21 | 华鑫证券 | 1.00 | 0.00 | 0.00 | 0.00 | 1.00 | 39.50 | 37.50 | 39.50 | 0.70 | 1.00 | 1.00 | 1.00 | 21.00 | 30.00 | 30.00 | 10.00 | 91.00 |
| 22 | 山西证券 | 0.00 | 2.00 | 0.00 | 0.00 | 4.00 | 94.00 | 70.50 | 94.00 | 1.00 | 0.70 | 1.00 | 1.00 | 30.00 | 21.00 | 30.00 | 10.00 | 91.00 |
| 23 | 金元证券 | 0.00 | 1.00 | 0.00 | 0.00 | 1.00 | 84.50 | 52.00 | 84.50 | 1.00 | 0.70 | 1.00 | 1.00 | 30.00 | 21.00 | 30.00 | 10.00 | 91.00 |
| 24 | 川财证券 | 1.00 | 0.00 | 0.00 | 0.00 | 1.00 | 17.50 | 14.50 | 17.50 | 0.70 | 1.00 | 1.00 | 1.00 | 21.00 | 30.00 | 30.00 | 10.00 | 91.00 |
| 25 | 东方财富 | 1.00 | 0.00 | 0.00 | 0.00 | 1.00 | 44.50 | 22.00 | 44.50 | 0.70 | 1.00 | 1.00 | 1.00 | 21.00 | 30.00 | 30.00 | 10.00 | 91.00 |
| 26 | 上海证券 | 1.00 | 0.00 | 0.00 | 0.00 | 0.00 | 89.00 | 221.00 | 89.00 | 0.60 | 1.00 | 1.00 | 1.00 | 18.00 | 30.00 | 30.00 | 10.00 | 88.00 |
| 27 | 国信证券 | 0.00 | 3.00 | 0.00 | 0.00 | 0.00 | 306.00 | 114.50 | 306.00 | 0.60 | 0.80 | 1.00 | 1.00 | 18.00 | 24.00 | 30.00 | 10.00 | 82.00 |
| 28 | 新时代证券 | 1.00 | 0.00 | 0.00 | 0.00 | 0.00 | 147.00 | 24.00 | 147.00 | 0.60 | 1.00 | 1.00 | 1.00 | 18.00 | 30.00 | 30.00 | 10.00 | 88.00 |
| 29 | 大通证券 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 51.00 | 8.00 | 51.00 | 0.60 | 1.00 | 1.00 | 1.00 | 18.00 | 30.00 | 30.00 | 10.00 | 88.00 |
| 30 | 中原证券 | 2.00 | 1.00 | 0.00 | 0.00 | 3.00 | 136.50 | 118.50 | 136.50 | 0.80 | 0.80 | 1.00 | 1.00 | 24.00 | 24.00 | 30.00 | 10.00 | 88.00 |
| 31 | 九州证券 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 21.50 | 231.00 | 21.50 | 0.60 | 1.00 | 1.00 | 1.00 | 18.00 | 30.00 | 30.00 | 10.00 | 88.00 |
| 32 | 德邦证券 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 50.50 | 36.00 | 50.50 | 0.60 | 1.00 | 1.00 | 1.00 | 18.00 | 30.00 | 30.00 | 10.00 | 88.00 |
| 33 | 国泰君安 | 0.00 | 0.00 | 0.00 | 1.00 | 0.00 | 223.00 | 218.50 | 223.00 | 0.60 | 1.00 | 1.00 | 0.70 | 18.00 | 30.00 | 30.00 | 7.00 | 85.00 |
| 34 | 银河证券 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 98.00 | 55.50 | 98.00 | 0.60 | 1.00 | 1.00 | 1.00 | 18.00 | 30.00 | 30.00 | 10.00 | 88.00 |
| 35 | 财通证券 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 223.00 | 68.50 | 223.00 | 0.60 | 1.00 | 1.00 | 1.00 | 18.00 | 30.00 | 30.00 | 10.00 | 88.00 |
| 36 | 国融证券 | 1.00 | 1.00 | 0.00 | 0.00 | 2.00 | 231.50 | 14.00 | 231.50 | 0.80 | 0.80 | 1.00 | 1.00 | 24.00 | 24.00 | 30.00 | 10.00 | 88.00 |
| 37 | 长城国瑞 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 6.00 | 2.00 | 6.00 | 0.60 | 1.00 | 1.00 | 1.00 | 18.00 | 30.00 | 30.00 | 10.00 | 88.00 |
| 38 | 华泰证券 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 63.50 | 59.00 | 63.50 | 0.60 | 1.00 | 1.00 | 1.00 | 18.00 | 30.00 | 30.00 | 10.00 | 88.00 |
| 39 | 万和证券 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 5.00 | 43.50 | 5.00 | 0.60 | 1.00 | 1.00 | 1.00 | 18.00 | 30.00 | 30.00 | 10.00 | 88.00 |
| 40 | 爱建证券 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 17.00 | 13.00 | 17.00 | 0.60 | 1.00 | 1.00 | 1.00 | 18.00 | 30.00 | 30.00 | 10.00 | 88.00 |
| 41 | 安信证券 | 1.00 | 3.00 | 0.00 | 1.00 | 1.00 | 610.50 | 147.50 | 610.50 | 0.70 | 0.80 | 1.00 | 0.70 | 21.00 | 24.00 | 30.00 | 7.00 | 82.00 |
| 42 | 南京证券 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 69.00 | 69.00 | 69.00 | 0.60 | 1.00 | 1.00 | 1.00 | 18.00 | 30.00 | 30.00 | 10.00 | 88.00 |
| 43 | 华信证券 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 7.00 | 23.00 | 7.00 | 0.60 | 1.00 | 1.00 | 1.00 | 18.00 | 30.00 | 30.00 | 10.00 | 88.00 |
| 44 | 网信证券 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 13.00 | 13.00 | 13.00 | 0.60 | 1.00 | 1.00 | 1.00 | 18.00 | 30.00 | 30.00 | 10.00 | 88.00 |
| 45 | 国开证券 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 7.50 | 24.00 | 7.50 | 0.60 | 1.00 | 1.00 | 1.00 | 18.00 | 30.00 | 30.00 | 10.00 | 88.00 |
| 46 | 华金证券 | 1.00 | 0.00 | 0.00 | 0.00 | 0.00 | 14.00 | 35.50 | 14.00 | 0.60 | 1.00 | 1.00 | 1.00 | 18.00 | 30.00 | 30.00 | 10.00 | 88.00 |
| 47 | 民生证券 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 88.50 | 69.00 | 88.50 | 0.60 | 1.00 | 1.00 | 1.00 | 18.00 | 30.00 | 30.00 | 10.00 | 88.00 |
| 48 | 红塔证券 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 12.50 | 39.50 | 12.50 | 0.60 | 1.00 | 1.00 | 1.00 | 18.00 | 30.00 | 30.00 | 10.00 | 88.00 |
| 49 | 民族证券 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 48.50 | 16.00 | 48.50 | 0.60 | 1.00 | 1.00 | 1.00 | 18.00 | 30.00 | 30.00 | 10.00 | 88.00 |
| 50 | 宏信证券 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 2.00 | 3.00 | 2.00 | 0.60 | 1.00 | 1.00 | 1.00 | 18.00 | 30.00 | 30.00 | 10.00 | 88.00 |
| 51 | 国盛证券 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 70.50 | 15.00 | 70.50 | 0.60 | 1.00 | 1.00 | 1.00 | 18.00 | 30.00 | 30.00 | 10.00 | 88.00 |
| 52 | 国都证券 | 0.00 | 2.00 | 0.00 | 0.00 | 1.00 | 59.50 | 41.00 | 59.50 | 1.00 | 0.60 | 1.00 | 1.00 | 30.00 | 18.00 | 30.00 | 10.00 | 88.00 |
| 53 | 中航证券 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 25.50 | 4.00 | 25.50 | 0.60 | 1.00 | 1.00 | 1.00 | 18.00 | 30.00 | 30.00 | 10.00 | 88.00 |
| 54 | 中金公司 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 19.50 | 27.50 | 19.50 | 0.60 | 1.00 | 1.00 | 1.00 | 18.00 | 30.00 | 30.00 | 10.00 | 88.00 |
| 55 | 财富证券 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 62.50 | 86.50 | 62.50 | 0.60 | 1.00 | 1.00 | 1.00 | 18.00 | 30.00 | 30.00 | 10.00 | 88.00 |
| 56 | 恒泰证券 | 2.00 | 0.00 | 0.00 | 0.00 | 0.00 | 110.50 | 72.00 | 110.50 | 0.60 | 1.00 | 1.00 | 1.00 | 18.00 | 30.00 | 30.00 | 10.00 | 88.00 |
| 57 | 长城证券 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 94.00 | 28.50 | 94.00 | 0.60 | 1.00 | 1.00 | 1.00 | 18.00 | 30.00 | 30.00 | 10.00 | 88.00 |
| 58 | 英大证券 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 36.00 | 17.00 | 36.00 | 0.60 | 1.00 | 1.00 | 1.00 | 18.00 | 30.00 | 30.00 | 10.00 | 88.00 |
| 59 | 世纪证券 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 11.50 | 82.50 | 11.50 | 0.60 | 1.00 | 1.00 | 1.00 | 18.00 | 30.00 | 30.00 | 10.00 | 88.00 |
| 60 | 信达证券 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 44.50 | 88.50 | 44.50 | 0.60 | 1.00 | 1.00 | 1.00 | 18.00 | 30.00 | 30.00 | 10.00 | 88.00 |
| 61 | 湘财证券 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 75.00 | 15.50 | 75.00 | 0.60 | 1.00 | 1.00 | 1.00 | 18.00 | 30.00 | 30.00 | 10.00 | 88.00 |
| 62 | 东吴证券 | 2.00 | 2.00 | 0.00 | 2.00 | 2.00 | 380.00 | 149.00 | 380.00 | 0.70 | 0.80 | 1.00 | 0.70 | 21.00 | 24.00 | 30.00 | 7.00 | 82.00 |
| 63 | 大同证券 | 0.00 | 0.00 | 0.00 | 1.00 | 0.00 | 7.50 | 3.50 | 7.50 | 0.60 | 1.00 | 1.00 | 0.60 | 18.00 | 30.00 | 30.00 | 6.00 | 84.00 |
| 64 | 国联证券 | 0.00 | 0.00 | 0.00 | 2.00 | 0.00 | 120.50 | 64.50 | 120.50 | 0.60 | 1.00 | 1.00 | 0.70 | 18.00 | 30.00 | 30.00 | 7.00 | 85.00 |
| 65 | 浙商证券 | 1.00 | 1.00 | 0.00 | 1.00 | 2.00 | 140.50 | 73.50 | 140.50 | 0.80 | 0.80 | 1.00 | 0.70 | 24.00 | 24.00 | 30.00 | 7.00 | 85.00 |
| 66 | 联储证券 | 0.00 | 0.00 | 0.00 | 1.00 | 0.00 | 17.00 | 9.00 | 17.00 | 0.60 | 1.00 | 1.00 | 0.60 | 18.00 | 30.00 | 30.00 | 6.00 | 84.00 |
| 67 | 国金证券 | 1.00 | 1.00 | 0.00 | 0.00 | 0.00 | 177.50 | 32.00 | 177.50 | 0.60 | 0.80 | 1.00 | 1.00 | 18.00 | 24.00 | 30.00 | 10.00 | 82.00 |
| 68 | 第一创业 | 2.00 | 0.00 | 0.00 | 1.00 | 1.00 | 23.00 | 106.00 | 23.00 | 0.60 | 1.00 | 1.00 | 0.60 | 18.00 | 30.00 | 30.00 | 6.00 | 84.00 |
| 69 | 东莞证券 | 2.00 | 3.00 | 0.00 | 2.00 | 1.00 | 262.50 | 129.00 | 262.50 | 0.60 | 0.80 | 1.00 | 0.70 | 18.00 | 24.00 | 30.00 | 7.00 | 79.00 |
| 70 | 华创证券 | 0.00 | 1.00 | 0.00 | 0.00 | 0.00 | 111.50 | 14.50 | 111.50 | 0.60 | 0.80 | 1.00 | 1.00 | 18.00 | 24.00 | 30.00 | 10.00 | 82.00 |
| 71 | 东兴证券 | 1.00 | 1.00 | 0.00 | 1.00 | 1.00 | 170.00 | 73.00 | 170.00 | 0.70 | 0.80 | 1.00 | 0.70 | 21.00 | 24.00 | 30.00 | 7.00 | 82.00 |
| 72 | 西部证券 | 2.00 | 2.00 | 0.00 | 0.00 | 1.00 | 228.50 | 103.00 | 228.50 | 0.60 | 0.80 | 1.00 | 1.00 | 18.00 | 24.00 | 30.00 | 10.00 | 82.00 |
| 73 | 中山证券 | 0.00 | 0.00 | 1.00 | 0.00 | 0.00 | 79.00 | 206.00 | 79.00 | 0.60 | 1.00 | 0.70 | 1.00 | 18.00 | 30.00 | 21.00 | 10.00 | 79.00 |
| 74 | 国海证券 | 0.00 | 1.00 | 0.00 | 1.00 | 0.00 | 147.50 | 134.00 | 147.50 | 0.60 | 0.80 | 1.00 | 0.70 | 18.00 | 24.00 | 30.00 | 7.00 | 79.00 |
| 75 | 太平洋证券 | 0.00 | 2.00 | 0.00 | 0.00 | 0.00 | 147.00 | 73.50 | 147.00 | 0.60 | 0.70 | 1.00 | 1.00 | 18.00 | 21.00 | 30.00 | 10.00 | 79.00 |
| 76 | 江海证券 | 0.00 | 1.00 | 0.00 | 0.00 | 0.00 | 77.00 | 34.50 | 77.00 | 0.60 | 0.70 | 1.00 | 1.00 | 18.00 | 21.00 | 30.00 | 10.00 | 79.00 |
| 77 | 中投证券 | 0.00 | 1.00 | 0.00 | 0.00 | 0.00 | 81.50 | 89.00 | 81.50 | 0.60 | 0.70 | 1.00 | 1.00 | 18.00 | 21.00 | 30.00 | 10.00 | 79.00 |
| 78 | 东海证券 | 0.00 | 1.00 | 0.00 | 0.00 | 0.00 | 75.50 | 21.00 | 75.50 | 0.60 | 0.70 | 1.00 | 1.00 | 18.00 | 21.00 | 30.00 | 10.00 | 79.00 |
| 79 | 东方证券 | 0.00 | 1.00 | 0.00 | 1.00 | 0.00 | 68.50 | 101.00 | 68.50 | 0.60 | 0.70 | 1.00 | 0.70 | 18.00 | 21.00 | 30.00 | 7.00 | 76.00 |
| 80 | 华融证券 | 0.00 | 2.00 | 0.00 | 0.00 | 0.00 | 82.50 | 123.50 | 82.50 | 0.60 | 0.70 | 1.00 | 1.00 | 18.00 | 21.00 | 30.00 | 10.00 | 79.00 |
| 81 | 华林证券 | 0.00 | 1.00 | 0.00 | 0.00 | 0.00 | 66.50 | 33.50 | 66.50 | 0.60 | 0.70 | 1.00 | 1.00 | 18.00 | 21.00 | 30.00 | 10.00 | 79.00 |
| 82 | 联讯证券 | 0.00 | 0.00 | 1.00 | 0.00 | 0.00 | 53.50 | 177.50 | 53.50 | 0.60 | 1.00 | 0.60 | 1.00 | 18.00 | 30.00 | 18.00 | 10.00 | 76.00 |
| 83 | 西南证券 | 2.00 | 3.00 | 1.00 | 0.00 | 3.00 | 273.50 | 51.00 | 273.50 | 0.80 | 0.80 | 0.60 | 1.00 | 24.00 | 24.00 | 18.00 | 10.00 | 76.00 |
| 84 | 广州证券 | 0.00 | 3.00 | 0.00 | 1.00 | 0.00 | 109.50 | 218.50 | 109.50 | 0.60 | 0.70 | 1.00 | 0.70 | 18.00 | 21.00 | 30.00 | 7.00 | 76.00 |
| 85 | 申港证券 | 0.00 | 1.00 | 0.00 | 0.00 | 0.00 | 12.00 | 2.00 | 12.00 | 0.60 | 0.60 | 1.00 | 1.00 | 18.00 | 18.00 | 30.00 | 10.00 | 76.00 |
| 86 | 国元证券 | 0.00 | 2.00 | 0.00 | 1.00 | 0.00 | 128.50 | 37.50 | 128.50 | 0.60 | 0.70 | 1.00 | 0.70 | 18.00 | 21.00 | 30.00 | 7.00 | 76.00 |
| 87 | 中银国际 | 0.00 | 2.00 | 0.00 | 1.00 | 0.00 | 102.50 | 69.00 | 102.50 | 0.60 | 0.70 | 1.00 | 0.70 | 18.00 | 21.00 | 30.00 | 7.00 | 76.00 |
| 88 | 五矿证券 | 0.00 | 0.00 | 1.00 | 0.00 | 0.00 | 39.50 | 27.00 | 39.50 | 0.60 | 1.00 | 0.60 | 1.00 | 18.00 | 30.00 | 18.00 | 10.00 | 76.00 |
| 89 | 华西证券 | 0.00 | 3.00 | 1.00 | 0.00 | 2.00 | 55.50 | 6.00 | 55.50 | 1.00 | 0.60 | 0.60 | 1.00 | 30.00 | 18.00 | 18.00 | 10.00 | 76.00 |
| 90 | 中邮证券 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 3.00 | 0.00 | 3.00 | 0.60 | 1.00 | 0.60 | 1.00 | 18.00 | 30.00 | 18.00 | 10.00 | 76.00 |
| 91 | 海际证券 | 1.00 | 0.00 | 0.00 | 0.00 | 0.00 | 19.50 | 0.00 | 19.50 | 0.60 | 1.00 | 0.60 | 1.00 | 18.00 | 30.00 | 18.00 | 10.00 | 76.00 |
| 92 | 华福证券 | 1.00 | 3.00 | 0.00 | 0.00 | 0.00 | 60.00 | 79.50 | 60.00 | 0.60 | 0.60 | 1.00 | 1.00 | 18.00 | 18.00 | 30.00 | 10.00 | 76.00 |
| 93 | 平安证券 | 2.00 | 2.00 | 0.00 | 2.00 | 0.00 | 75.50 | 42.50 | 75.50 | 0.60 | 0.70 | 1.00 | 0.60 | 18.00 | 21.00 | 30.00 | 6.00 | 75.00 |
| 94 | 银泰证券 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 8.50 | 0.00 | 0.60 | 0.60 | 1.00 | 0.60 | 18.00 | 18.00 | 30.00 | 6.00 | 72.00 |
| 95 | 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 |
| 96 | 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 |

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** | **2017年9月排序** | **2017年8月排序**\* | **2016年9月排序** | **2016年10月-2017年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 | 方正证券 | 100.00 |  |  |  | 1.50 |  | 1.50 | 0.00 | 101.50 | 1 | 1 | 16 | 21 |
| 2 | 首创证券 | 100.00 |  | 1.00 | 0.50 |  |  | 1.50 | 0.00 | 101.50 | 1 | 27 | 16 | 33 |
| 3 | 招商证券 | 94.00 | 1.00 | 2.00 | 0.50 | 1.00 | 2.00 | 6.50 | 0.00 | 100.50 | 3 | 13 | 36 | 6 |
| 4 | 万联证券 | 100.00 |  |  | 0.50 |  |  | 0.50 | 0.00 | 100.50 | 3 | 29 | 71 | 27 |
| 5 | 渤海证券 | 100.00 |  |  |  |  |  | 0.00 | 0.00 | 100.00 | 5 | 60 | 7 | 40 |
| 6 | 华龙证券 | 100.00 |  |  |  |  |  | 0.00 | 0.00 | 100.00 | 5 | 36 | 30 | 43 |
| 7 | 财达证券 | 100.00 |  |  |  |  |  | 0.00 | 0.00 | 100.00 | 5 | 73 | 42 | 45 |
| 8 | 长江证券 | 95.50 | 1.00 | 3.00 |  |  |  | 4.00 | 0.00 | 99.50 | 8 | 11 | 4 | 27 |
| 9 | 中信建投 | 92.50 | 2.00 | 3.00 | 0.50 |  |  | 5.50 | 0.00 | 98.00 | 9 | 17 | 5 | 5 |
| 10 | 申万宏源 | 89.50 | 2.00 | 3.00 | 0.50 | 1.00 |  | 6.50 | 0.00 | 96.00 | 10 | 29 | 23 | 3 |
| 11 | 中泰证券 | 92.50 | 2.00 | 1.00 | 0.50 |  |  | 3.50 | 0.00 | 96.00 | 10 | 4 | 19 | 24 |
| 12 | 广发证券 | 88.00 | 2.00 | 2.00 | 1.50 | 0.50 | 1.00 | 7.00 | 0.00 | 95.00 | 12 | 22 | 24 | 12 |
| 13 | 开源证券 | 94.00 |  |  |  |  | 1.00 | 1.00 | 0.00 | 95.00 | 12 | 67 | 61 | 37 |
| 14 | 兴业证券 | 91.00 | 0.50 | 2.00 |  |  | 1.00 | 3.50 | 0.00 | 94.50 | 14 | 29 | 38 | 6 |
| 15 | 天风证券 | 94.00 |  |  | 0.50 |  |  | 0.50 | 0.00 | 94.50 | 14 | 36 | 25 | 17 |
| 16 | 海通证券 | 94.00 | 0.50 |  |  |  |  | 0.50 | 0.00 | 94.50 | 14 | 72 | 36 | 40 |
| 17 | 东北证券 | 89.50 | 1.00 | 2.00 |  |  |  | 3.00 | 0.00 | 92.50 | 17 | 14 | 27 | 17 |
| 18 | 光大证券 | 88.00 | 0.50 | 2.00 |  |  | 2.00 | 4.50 | 0.00 | 92.50 | 17 | 63 | 10\* | 57 |
| 19 | 华安证券 | 91.00 |  |  | 0.50 |  |  | 0.50 | 0.00 | 91.50 | 19 | 29 | 49 | 94 |
| 20 | 中信证券 | 88.00 | 0.50 | 1.00 | 1.00 | 0.50 |  | 3.00 | 0.00 | 91.00 | 20 | 58 | 1 | 8 |
| 21 | 华鑫证券 | 91.00 |  |  |  |  |  | 0.00 | 0.00 | 91.00 | 20 | 73 | 49 | 17 |
| 22 | 山西证券 | 91.00 |  |  |  |  |  | 0.00 | 0.00 | 91.00 | 20 | 11 | 73 | 21 |
| 23 | 金元证券 | 91.00 |  |  |  |  |  | 0.00 | 0.00 | 91.00 | 20 | 73 | 30 | 30 |
| 24 | 川财证券 | 91.00 |  |  |  |  |  | 0.00 | 0.00 | 91.00 | 20 | 6 | 14 | 80 |
| 25 | 东方财富 | 91.00 |  |  |  |  |  | 0.00 | 0.00 | 91.00 | 20 | 84 | 73 | 88 |
| 26 | 上海证券 | 88.00 |  |  | 1.50 | 0.50 |  | 2.00 | 0.00 | 90.00 | 26 | 56 | 28 | 30 |
| 27 | 国信证券 | 82.00 | 1.00 | 3.00 | 1.00 | 1.00 | 2.00 | 8.00 | 0.00 | 90.00 | 26 | 36 | 10 | 33 |
| 28 | 新时代证券 | 88.00 |  | 2.00 |  |  |  | 2.00 | 0.00 | 90.00 | 26 | 16 | 69 | 45 |
| 29 | 大通证券 | 88.00 |  |  |  | 1.50 |  | 1.50 | 0.00 | 89.50 | 29 | 22 | 18 | 48 |
| 30 | 中原证券 | 88.00 |  | 1.00 |  |  |  | 1.00 | 0.00 | 89.00 | 30 | 20 | 30 | 43 |
| 31 | 九州证券 | 88.00 |  |  | 1.00 |  |  | 1.00 | 0.00 | 89.00 | 30 | 22 | 47 | 50 |
| 32 | 德邦证券 | 88.00 |  |  |  |  | 1.00 | 1.00 | 0.00 | 89.00 | 30 | 96 | 7 | 67 |
| 33 | 国泰君安 | 85.00 | 0.50 |  | 1.50 | 1.50 |  | 3.50 | 0.00 | 88.50 | 33 | 17 | 60 | 1 |
| 34 | 银河证券 | 88.00 |  |  |  | 0.50 |  | 0.50 | 0.00 | 88.50 | 33 | 2 | 6 | 4 |
| 35 | 财通证券 | 88.00 | 0.50 |  |  |  |  | 0.50 | 0.00 | 88.50 | 33 | 22 | 47 | 50 |
| 36 | 国融证券 | 88.00 |  |  |  | 0.50 |  | 0.50 | 0.00 | 88.50 | 33 | 73 | 42 | 69 |
| 37 | 长城国瑞 | 88.00 |  |  |  |  |  | 0.00 | 0.00 | 88.00 | 37 | 36 | 83 | 11 |
| 38 | 华泰证券 | 88.00 |  |  |  |  |  | 0.00 | 0.00 | 88.00 | 37 | 36 | 73 | 12 |
| 39 | 万和证券 | 88.00 |  |  |  |  |  | 0.00 | 0.00 | 88.00 | 37 | 36 | 84 | 12 |
| 40 | 爱建证券 | 88.00 |  |  |  |  |  | 0.00 | 0.00 | 88.00 | 37 | 29 | 79 | 17 |
| 41 | 安信证券 | 82.00 | 2.00 | 3.00 | 1.00 |  |  | 6.00 | 0.00 | 88.00 | 37 | 2 | 77 | 21 |
| 42 | 南京证券 | 88.00 |  |  |  |  |  | 0.00 | 0.00 | 88.00 | 37 | 36 | 70 | 24 |
| 43 | 华信证券 | 88.00 |  |  |  |  |  | 0.00 | 0.00 | 88.00 | 37 | 36 | 49 | 27 |
| 44 | 网信证券 | 88.00 |  |  |  |  |  | 0.00 | 0.00 | 88.00 | 37 | 36 | 88 | 33 |
| 45 | 国开证券 | 88.00 |  |  |  |  |  | 0.00 | 0.00 | 88.00 | 37 | 84 | 49 | 37 |
| 46 | 华金证券 | 88.00 |  |  |  |  |  | 0.00 | 0.00 | 88.00 | 37 | 36 | 10 | 37 |
| 47 | 民生证券 | 88.00 |  |  |  |  |  | 0.00 | 0.00 | 88.00 | 37 | 83 | 19 | 48 |
| 48 | 红塔证券 | 88.00 |  |  |  |  |  | 0.00 | 0.00 | 88.00 | 37 | 6 | 49 | 50 |
| 49 | 民族证券 | 88.00 |  |  |  |  |  | 0.00 | 0.00 | 88.00 | 37 | 36 | 66 | 50 |
| 50 | 宏信证券 | 88.00 |  |  |  |  |  | 0.00 | 0.00 | 88.00 | 37 | 29 | 85 | 56 |
| 51 | 国盛证券 | 88.00 |  |  |  |  |  | 0.00 | 0.00 | 88.00 | 37 | 36 | 65 | 57 |
| 52 | 国都证券 | 88.00 |  |  |  |  |  | 0.00 | 0.00 | 88.00 | 37 | 6 | 38 | 62 |
| 53 | 中航证券 | 88.00 |  |  |  |  |  | 0.00 | 0.00 | 88.00 | 37 | 84 | 49 | 62 |
| 54 | 中金公司 | 88.00 |  |  |  |  |  | 0.00 | 0.00 | 88.00 | 37 | 36 | 49 | 69 |
| 55 | 财富证券 | 88.00 |  |  |  |  |  | 0.00 | 0.00 | 88.00 | 37 | 36 | 78 | 73 |
| 56 | 恒泰证券 | 88.00 |  |  |  |  |  | 0.00 | 0.00 | 88.00 | 37 | 6 | 81 | 73 |
| 57 | 长城证券 | 88.00 |  |  |  |  |  | 0.00 | 0.00 | 88.00 | 37 | 36 | 66 | 77 |
| 58 | 英大证券 | 88.00 |  |  |  |  |  | 0.00 | 0.00 | 88.00 | 37 | 84 | 73 | 77 |
| 59 | 世纪证券 | 88.00 |  |  |  |  |  | 0.00 | 0.00 | 88.00 | 37 | 60 | 49 | 81 |
| 60 | 信达证券 | 88.00 |  |  |  |  |  | 0.00 | 0.00 | 88.00 | 37 | 6 | 49 | 86 |
| 61 | 湘财证券 | 88.00 |  |  |  |  |  | 0.00 | 0.00 | 88.00 | 37 | 93 | 19 | 90 |
| 62 | 东吴证券 | 82.00 | 1.00 | 2.00 |  | 0.50 |  | 3.50 | 0.00 | 85.50 | 62 | 14 | 30\* | 15 |
| 63 | 大同证券 | 84.00 |  |  |  | 1.50 |  | 1.50 | 0.00 | 85.50 | 62 | 36 | 88 | 84 |
| 64 | 国联证券 | 85.00 |  |  |  |  |  | 0.00 | 0.00 | 85.00 | 64 | 36 | 42 | 55 |
| 65 | 浙商证券 | 85.00 |  |  |  |  |  | 0.00 | 0.00 | 85.00 | 64 | 92 | 30 | 73 |
| 66 | 联储证券 | 84.00 |  |  |  | 0.50 |  | 0.50 | 0.00 | 84.50 | 66 | 36 | 88 | 2 |
| 67 | 国金证券 | 82.00 | 0.50 | 1.00 |  | 0.50 |  | 2.00 | 0.00 | 84.00 | 67 | 22 | 25 | 40 |
| 68 | 第一创业 | 84.00 |  |  |  |  |  | 0.00 | 0.00 | 84.00 | 67 | 36 | 7 | 57 |
| 69 | 东莞证券 | 79.00 | 0.50 | 1.00 | 0.50 | 1.00 | 1.00 | 4.00 | 0.00 | 83.00 | 69 | 59 | 14 | 30 |
| 70 | 华创证券 | 82.00 |  |  |  |  | 1.00 | 1.00 | 0.00 | 83.00 | 69 | 64 | 41 | 73 |
| 71 | 东兴证券 | 82.00 |  | 1.00 |  |  |  | 1.00 | 0.00 | 83.00 | 69 | 84 | 38 | 84 |
| 72 | 西部证券 | 82.00 | 0.50 |  |  |  |  | 0.50 | 0.00 | 82.50 | 72 | 60 | 10 | 24 |
| 73 | 中山证券 | 79.00 |  |  | 1.50 |  |  | 1.50 | 0.00 | 80.50 | 73 | 57 | 71 | 33 |
| 74 | 国海证券 | 79.00 |  | 1.00 |  |  |  | 1.00 | 0.00 | 80.00 | 74 | 19 | 61 | 77 |
| 75 | 太平洋证券 | 79.00 |  |  |  |  |  | 0.00 | 0.00 | 79.00 | 75 | 71 | 28\* | 8 |
| 76 | 江海证券 | 79.00 |  |  |  |  |  | 0.00 | 0.00 | 79.00 | 75 | 67 | 68 | 57 |
| 77 | 中投证券 | 79.00 |  |  |  |  |  | 0.00 | 0.00 | 79.00 | 75 | 73 | 64 | 57 |
| 78 | 东海证券 | 79.00 |  |  |  |  |  | 0.00 | 0.00 | 79.00 | 75 | 27 | 80 | 67 |
| 79 | 东方证券 | 76.00 |  |  | 1.50 | 1.50 |  | 3.00 | 0.00 | 79.00 | 75 | 70 | 2 | 83 |
| 80 | 华融证券 | 79.00 |  |  |  |  |  | 0.00 | 0.00 | 79.00 | 75 | 36 | 42 | 88 |
| 81 | 华林证券 | 79.00 |  |  |  |  |  | 0.00 | 0.00 | 79.00 | 75 | 73 | 30 | 91 |
| 82 | 联讯证券 | 76.00 |  |  | 1.00 | 0.50 |  | 1.50 | 0.00 | 77.50 | 82 | 20 | 49 | 50 |
| 83 | 西南证券 | 76.00 | 0.50 | 1.00 |  |  |  | 1.50 | 0.00 | 77.50 | 82 | 4 | 42 | 62 |
| 84 | 广州证券 | 76.00 |  |  | 0.50 | 0.50 |  | 1.00 | 0.00 | 77.00 | 84 | 66 | 3 | 8 |
| 85 | 申港证券 | 76.00 |  |  |  | 1.00 |  | 1.00 | 0.00 | 77.00 | 84 | 29 | - | 15 |
| 86 | 国元证券 | 76.00 |  |  |  |  |  | 0.00 | 0.00 | 76.00 | 86 | 73 | 81 | 45 |
| 87 | 中银国际 | 76.00 |  |  |  |  |  | 0.00 | 0.00 | 76.00 | 86 | 67 | 19 | 62 |
| 88 | 五矿证券 | 76.00 |  |  |  |  |  | 0.00 | 0.00 | 76.00 | 86 | 73 | 61 | 62 |
| 89 | 华西证券 | 76.00 |  |  |  |  |  | 0.00 | 0.00 | 76.00 | 86 | 73 | 49 | 69 |
| 90 | 中邮证券 | 76.00 |  |  |  |  |  | 0.00 | 0.00 | 76.00 | 86 | 84 | 88 | 69 |
| 91 | 海际证券 | 76.00 |  |  |  |  |  | 0.00 | 0.00 | 76.00 | 86 | 84 | 88 | 81 |
| 92 | 华福证券 | 76.00 |  |  |  |  |  | 0.00 | 0.00 | 76.00 | 86 | 73 | 87 | 92 |
| 93 | 平安证券 | 75.00 |  | 1.00 |  |  |  | 1.00 | 0.00 | 76.00 | 86 | 64 | 86 | 93 |
| 94 | 银泰证券 | 72.00 |  |  |  |  |  | 0.00 | 0.00 | 72.00 | 94 | 91 | 88 | 87 |
| 95 | 华宝证券 | 60.00 |  |  |  |  |  | 0.00 | 0.00 | 60.00 | 95 | 94 | 88 | 95 |
| 96 | 中天证券 | 60.00 |  |  |  |  |  | 0.00 | 0.00 | 60.00 | 95 | 94 | 88 | 95 |

\*2017年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。

\*\*2016年10月-2017年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)