附件

主办券商执业质量月度评价结果（2016年10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 | 11.00 | 167.00 | 68.00 | 167.00 | 1.00 | 1.00 | 1.00 | 1.00 | 30.00 | 30.00 | 30.00 | 10.00 | 100.00 |
| 2 | 招商证券 | 0.00 | 0.00 | 0.00 | 1.00 | 6.00 | 278.00 | 188.00 | 278.00 | 1.00 | 1.00 | 1.00 | 0.80 | 30.00 | 30.00 | 30.00 | 8.00 | 98.00 |
| 3 | 上海证券 | 0.00 | 0.00 | 0.00 | 0.00 | 5.00 | 74.00 | 260.00 | 74.00 | 1.00 | 1.00 | 1.00 | 1.00 | 30.00 | 30.00 | 30.00 | 10.00 | 100.00 |
| 4 | 太平洋证券 | 0.00 | 0.00 | 0.00 | 0.00 | 6.00 | 113.50 | 81.00 | 113.50 | 1.00 | 1.00 | 1.00 | 1.00 | 30.00 | 30.00 | 30.00 | 10.00 | 100.00 |
| 5 | 万联证券 | 0.00 | 0.00 | 0.00 | 0.00 | 6.00 | 55.50 | 172.50 | 55.50 | 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 | 6.00 | 62.00 | 16.00 | 62.00 | 1.00 | 1.00 | 1.00 | 1.00 | 30.00 | 30.00 | 30.00 | 10.00 | 100.00 |
| 7 | 银河证券 | 0.00 | 0.00 | 0.00 | 0.00 | 7.00 | 80.50 | 67.50 | 80.50 | 1.00 | 1.00 | 1.00 | 1.00 | 30.00 | 30.00 | 30.00 | 10.00 | 100.00 |
| 8 | 东吴证券 | 0.00 | 0.00 | 0.00 | 1.00 | 21.00 | 266.00 | 172.50 | 266.00 | 1.00 | 1.00 | 1.00 | 0.80 | 30.00 | 30.00 | 30.00 | 8.00 | 98.00 |
| 9 | 九州证券 | 0.00 | 0.00 | 0.00 | 0.00 | 1.00 | 13.00 | 228.50 | 13.00 | 1.00 | 1.00 | 1.00 | 1.00 | 30.00 | 30.00 | 30.00 | 10.00 | 100.00 |
| 10 | 爱建证券 | 0.00 | 0.00 | 0.00 | 0.00 | 1.00 | 14.00 | 12.50 | 14.00 | 1.00 | 1.00 | 1.00 | 1.00 | 30.00 | 30.00 | 30.00 | 10.00 | 100.00 |
| 11 | 德邦证券 | 0.00 | 0.00 | 0.00 | 0.00 | 1.00 | 37.50 | 37.50 | 37.50 | 1.00 | 1.00 | 1.00 | 1.00 | 30.00 | 30.00 | 30.00 | 10.00 | 100.00 |
| 12 | 渤海证券 | 0.00 | 0.00 | 0.00 | 0.00 | 2.00 | 34.00 | 25.00 | 34.00 | 1.00 | 1.00 | 1.00 | 1.00 | 30.00 | 30.00 | 30.00 | 10.00 | 100.00 |
| 13 | 华泰证券 | 0.00 | 0.00 | 0.00 | 0.00 | 2.00 | 72.50 | 67.50 | 72.50 | 1.00 | 1.00 | 1.00 | 1.00 | 30.00 | 30.00 | 30.00 | 10.00 | 100.00 |
| 14 | 红塔证券 | 0.00 | 0.00 | 0.00 | 0.00 | 1.00 | 13.00 | 36.00 | 13.00 | 1.00 | 1.00 | 1.00 | 1.00 | 30.00 | 30.00 | 30.00 | 10.00 | 100.00 |
| 15 | 川财证券 | 0.00 | 0.00 | 0.00 | 0.00 | 1.00 | 9.00 | 17.00 | 9.00 | 1.00 | 1.00 | 1.00 | 1.00 | 30.00 | 30.00 | 30.00 | 10.00 | 100.00 |
| 16 | 山西证券 | 0.00 | 0.00 | 0.00 | 0.00 | 1.00 | 72.00 | 93.50 | 72.00 | 1.00 | 1.00 | 1.00 | 1.00 | 30.00 | 30.00 | 30.00 | 10.00 | 100.00 |
| 17 | 中金公司 | 0.00 | 0.00 | 0.00 | 0.00 | 2.00 | 13.00 | 26.00 | 13.00 | 1.00 | 1.00 | 1.00 | 1.00 | 30.00 | 30.00 | 30.00 | 10.00 | 100.00 |
| 18 | 华西证券 | 0.00 | 0.00 | 0.00 | 0.00 | 1.00 | 46.00 | 2.00 | 46.00 | 1.00 | 1.00 | 1.00 | 1.00 | 30.00 | 30.00 | 30.00 | 10.00 | 100.00 |
| 19 | 国盛证券 | 0.00 | 0.00 | 0.00 | 0.00 | 1.00 | 53.50 | 16.50 | 53.50 | 1.00 | 1.00 | 1.00 | 1.00 | 30.00 | 30.00 | 30.00 | 10.00 | 100.00 |
| 20 | 长江证券 | 0.00 | 1.00 | 0.00 | 0.00 | 6.00 | 275.00 | 224.00 | 275.00 | 1.00 | 0.85 | 1.00 | 1.00 | 30.00 | 25.50 | 30.00 | 10.00 | 95.50 |
| 21 | 广州证券 | 0.00 | 0.00 | 0.00 | 1.00 | 4.00 | 103.50 | 301.50 | 103.50 | 1.00 | 1.00 | 1.00 | 0.80 | 30.00 | 30.00 | 30.00 | 8.00 | 98.00 |
| 22 | 东北证券 | 0.00 | 3.00 | 0.00 | 1.00 | 13.00 | 260.50 | 97.50 | 260.50 | 1.00 | 0.80 | 1.00 | 0.80 | 30.00 | 24.00 | 30.00 | 8.00 | 92.00 |
| 23 | 中投证券 | 0.00 | 0.00 | 0.00 | 1.00 | 4.00 | 70.00 | 184.50 | 70.00 | 1.00 | 1.00 | 1.00 | 0.70 | 30.00 | 30.00 | 30.00 | 7.00 | 97.00 |
| 24 | 长城证券 | 0.00 | 0.00 | 0.00 | 1.00 | 1.00 | 84.50 | 20.00 | 84.50 | 1.00 | 1.00 | 1.00 | 0.70 | 30.00 | 30.00 | 30.00 | 7.00 | 97.00 |
| 25 | 中泰证券 | 3.00 | 0.00 | 0.00 | 0.00 | 17.00 | 410.00 | 302.50 | 410.00 | 0.70 | 1.00 | 1.00 | 1.00 | 21.00 | 30.00 | 30.00 | 10.00 | 91.00 |
| 26 | 东方证券 | 0.00 | 1.00 | 0.00 | 0.00 | 1.00 | 66.50 | 149.50 | 66.50 | 1.00 | 0.80 | 1.00 | 1.00 | 30.00 | 24.00 | 30.00 | 10.00 | 94.00 |
| 27 | 东莞证券 | 1.00 | 0.00 | 0.00 | 0.00 | 15.00 | 169.00 | 176.50 | 169.00 | 0.80 | 1.00 | 1.00 | 1.00 | 24.00 | 30.00 | 30.00 | 10.00 | 94.00 |
| 28 | 湘财证券 | 0.00 | 0.00 | 0.00 | 1.00 | 1.00 | 72.00 | 18.00 | 72.00 | 1.00 | 1.00 | 1.00 | 0.70 | 30.00 | 30.00 | 30.00 | 7.00 | 97.00 |
| 29 | 国金证券 | 0.00 | 3.00 | 0.00 | 0.00 | 3.00 | 161.00 | 31.00 | 161.00 | 1.00 | 0.70 | 1.00 | 1.00 | 30.00 | 21.00 | 30.00 | 10.00 | 91.00 |
| 30 | 中山证券 | 0.00 | 1.00 | 0.00 | 0.00 | 3.00 | 86.50 | 210.50 | 86.50 | 1.00 | 0.80 | 1.00 | 1.00 | 30.00 | 24.00 | 30.00 | 10.00 | 94.00 |
| 31 | 南京证券 | 0.00 | 1.00 | 0.00 | 0.00 | 4.00 | 68.00 | 79.50 | 68.00 | 1.00 | 0.80 | 1.00 | 1.00 | 30.00 | 24.00 | 30.00 | 10.00 | 94.00 |
| 32 | 华福证券 | 0.00 | 1.00 | 0.00 | 0.00 | 1.00 | 55.50 | 101.00 | 55.50 | 1.00 | 0.80 | 1.00 | 1.00 | 30.00 | 24.00 | 30.00 | 10.00 | 94.00 |
| 33 | 中信建投 | 1.00 | 2.00 | 0.00 | 0.00 | 11.00 | 333.00 | 72.50 | 333.00 | 0.80 | 0.80 | 1.00 | 1.00 | 24.00 | 24.00 | 30.00 | 10.00 | 88.00 |
| 34 | 国信证券 | 1.00 | 7.00 | 0.00 | 0.00 | 8.00 | 313.50 | 155.50 | 313.50 | 0.80 | 0.70 | 1.00 | 1.00 | 24.00 | 21.00 | 30.00 | 10.00 | 85.00 |
| 35 | 光大证券 | 0.00 | 2.00 | 0.00 | 2.00 | 6.00 | 205.00 | 237.50 | 205.00 | 1.00 | 0.80 | 1.00 | 0.70 | 30.00 | 24.00 | 30.00 | 7.00 | 91.00 |
| 36 | 国联证券 | 1.00 | 0.00 | 0.00 | 1.00 | 8.00 | 88.50 | 55.50 | 88.50 | 0.80 | 1.00 | 1.00 | 0.70 | 24.00 | 30.00 | 30.00 | 7.00 | 91.00 |
| 37 | 海通证券 | 0.00 | 0.00 | 1.00 | 1.00 | 2.00 | 138.00 | 185.00 | 138.00 | 1.00 | 1.00 | 0.70 | 0.80 | 30.00 | 30.00 | 21.00 | 8.00 | 89.00 |
| 38 | 华融证券 | 0.00 | 0.00 | 4.00 | 0.00 | 2.00 | 73.00 | 145.00 | 73.00 | 1.00 | 1.00 | 0.70 | 1.00 | 30.00 | 30.00 | 21.00 | 10.00 | 91.00 |
| 39 | 西部证券 | 0.00 | 2.00 | 0.00 | 2.00 | 12.00 | 181.00 | 105.50 | 181.00 | 1.00 | 0.80 | 1.00 | 0.70 | 30.00 | 24.00 | 30.00 | 7.00 | 91.00 |
| 40 | 广发证券 | 1.00 | 3.00 | 0.00 | 1.00 | 11.00 | 279.00 | 205.00 | 279.00 | 0.80 | 0.80 | 1.00 | 0.80 | 24.00 | 24.00 | 30.00 | 8.00 | 86.00 |
| 41 | 华鑫证券 | 0.00 | 1.00 | 0.00 | 0.00 | 3.00 | 33.00 | 43.00 | 33.00 | 1.00 | 0.70 | 1.00 | 1.00 | 30.00 | 21.00 | 30.00 | 10.00 | 91.00 |
| 42 | 天风证券 | 2.00 | 0.00 | 0.00 | 0.00 | 6.00 | 118.50 | 246.50 | 118.50 | 0.70 | 1.00 | 1.00 | 1.00 | 21.00 | 30.00 | 30.00 | 10.00 | 91.00 |
| 43 | 英大证券 | 0.00 | 1.00 | 0.00 | 0.00 | 1.00 | 35.00 | 17.00 | 35.00 | 1.00 | 0.70 | 1.00 | 1.00 | 30.00 | 21.00 | 30.00 | 10.00 | 91.00 |
| 44 | 财富证券 | 0.00 | 1.00 | 0.00 | 0.00 | 3.00 | 42.00 | 73.50 | 42.00 | 1.00 | 0.70 | 1.00 | 1.00 | 30.00 | 21.00 | 30.00 | 10.00 | 91.00 |
| 45 | 东海证券 | 0.00 | 0.00 | 1.00 | 0.00 | 2.00 | 75.00 | 28.50 | 75.00 | 1.00 | 1.00 | 0.70 | 1.00 | 30.00 | 30.00 | 21.00 | 10.00 | 91.00 |
| 46 | 江海证券 | 0.00 | 2.00 | 0.00 | 0.00 | 2.00 | 51.50 | 31.00 | 51.50 | 1.00 | 0.70 | 1.00 | 1.00 | 30.00 | 21.00 | 30.00 | 10.00 | 91.00 |
| 47 | 民生证券 | 0.00 | 2.00 | 0.00 | 0.00 | 3.00 | 78.50 | 74.50 | 78.50 | 1.00 | 0.70 | 1.00 | 1.00 | 30.00 | 21.00 | 30.00 | 10.00 | 91.00 |
| 48 | 财达证券 | 0.00 | 0.00 | 1.00 | 0.00 | 3.00 | 68.50 | 48.00 | 68.50 | 1.00 | 1.00 | 0.70 | 1.00 | 30.00 | 30.00 | 21.00 | 10.00 | 91.00 |
| 49 | 申万宏源 | 0.00 | 3.00 | 1.00 | 0.00 | 19.00 | 630.50 | 272.00 | 630.50 | 1.00 | 0.80 | 0.70 | 1.00 | 30.00 | 24.00 | 21.00 | 10.00 | 85.00 |
| 50 | 大通证券 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 88.50 | 9.00 | 88.50 | 0.60 | 1.00 | 1.00 | 1.00 | 18.00 | 30.00 | 30.00 | 10.00 | 88.00 |
| 51 | 浙商证券 | 0.00 | 4.00 | 0.00 | 1.00 | 8.00 | 98.50 | 104.50 | 98.50 | 1.00 | 0.70 | 1.00 | 0.70 | 30.00 | 21.00 | 30.00 | 7.00 | 88.00 |
| 52 | 首创证券 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 79.50 | 61.50 | 79.50 | 0.60 | 1.00 | 1.00 | 1.00 | 18.00 | 30.00 | 30.00 | 10.00 | 88.00 |
| 53 | 中原证券 | 1.00 | 1.00 | 0.00 | 0.00 | 5.00 | 104.50 | 133.00 | 104.50 | 0.70 | 0.80 | 1.00 | 1.00 | 21.00 | 24.00 | 30.00 | 10.00 | 85.00 |
| 54 | 五矿证券 | 0.00 | 0.00 | 1.00 | 1.00 | 2.00 | 25.50 | 9.50 | 25.50 | 1.00 | 1.00 | 0.70 | 0.70 | 30.00 | 30.00 | 21.00 | 7.00 | 88.00 |
| 55 | 世纪证券 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 13.00 | 98.00 | 13.00 | 0.60 | 1.00 | 1.00 | 1.00 | 18.00 | 30.00 | 30.00 | 10.00 | 88.00 |
| 56 | 华金证券 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 5.00 | 14.50 | 5.00 | 0.60 | 1.00 | 1.00 | 1.00 | 18.00 | 30.00 | 30.00 | 10.00 | 88.00 |
| 57 | 金元证券 | 0.00 | 3.00 | 0.00 | 1.00 | 2.00 | 81.00 | 57.00 | 81.00 | 1.00 | 0.70 | 1.00 | 0.70 | 30.00 | 21.00 | 30.00 | 7.00 | 88.00 |
| 58 | 国开证券 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 7.00 | 16.50 | 7.00 | 0.60 | 1.00 | 1.00 | 1.00 | 18.00 | 30.00 | 30.00 | 10.00 | 88.00 |
| 59 | 恒泰证券 | 1.00 | 0.00 | 0.00 | 0.00 | 1.00 | 58.00 | 105.50 | 58.00 | 0.60 | 1.00 | 1.00 | 1.00 | 18.00 | 30.00 | 30.00 | 10.00 | 88.00 |
| 60 | 国元证券 | 0.00 | 3.00 | 0.00 | 1.00 | 5.00 | 100.00 | 36.00 | 100.00 | 1.00 | 0.70 | 1.00 | 0.70 | 30.00 | 21.00 | 30.00 | 7.00 | 88.00 |
| 61 | 中航证券 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 20.00 | 7.00 | 20.00 | 0.60 | 1.00 | 1.00 | 1.00 | 18.00 | 30.00 | 30.00 | 10.00 | 88.00 |
| 62 | 东方财富 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 26.50 | 16.00 | 26.50 | 0.60 | 1.00 | 1.00 | 1.00 | 18.00 | 30.00 | 30.00 | 10.00 | 88.00 |
| 63 | 新时代证券 | 1.00 | 0.00 | 0.00 | 2.00 | 6.00 | 98.00 | 37.00 | 98.00 | 0.70 | 1.00 | 1.00 | 0.70 | 21.00 | 30.00 | 30.00 | 7.00 | 88.00 |
| 64 | 国泰君安 | 0.00 | 2.00 | 0.00 | 0.00 | 0.00 | 238.00 | 201.50 | 238.00 | 0.60 | 0.80 | 1.00 | 1.00 | 18.00 | 24.00 | 30.00 | 10.00 | 82.00 |
| 65 | 中银国际 | 1.00 | 1.00 | 0.00 | 0.00 | 6.00 | 88.50 | 75.00 | 88.50 | 0.70 | 0.80 | 1.00 | 1.00 | 21.00 | 24.00 | 30.00 | 10.00 | 85.00 |
| 66 | 财通证券 | 1.00 | 3.00 | 0.00 | 0.00 | 6.00 | 173.50 | 73.50 | 173.50 | 0.70 | 0.80 | 1.00 | 1.00 | 21.00 | 24.00 | 30.00 | 10.00 | 85.00 |
| 67 | 第一创业 | 0.00 | 0.00 | 0.00 | 1.00 | 0.00 | 16.00 | 62.00 | 16.00 | 0.60 | 1.00 | 1.00 | 0.60 | 18.00 | 30.00 | 30.00 | 6.00 | 84.00 |
| 68 | 安信证券 | 1.00 | 2.00 | 2.00 | 3.00 | 17.00 | 472.00 | 141.50 | 472.00 | 0.80 | 0.85 | 0.70 | 0.80 | 24.00 | 25.50 | 21.00 | 8.00 | 78.50 |
| 69 | 华安证券 | 2.00 | 0.00 | 0.00 | 0.00 | 1.00 | 40.50 | 132.50 | 40.50 | 0.60 | 1.00 | 1.00 | 1.00 | 18.00 | 30.00 | 30.00 | 10.00 | 88.00 |
| 70 | 东兴证券 | 1.00 | 1.00 | 0.00 | 0.00 | 10.00 | 130.50 | 93.00 | 130.50 | 0.80 | 0.80 | 1.00 | 1.00 | 24.00 | 24.00 | 30.00 | 10.00 | 88.00 |
| 71 | 宏信证券 | 0.00 | 0.00 | 0.00 | 1.00 | 0.00 | 6.00 | 3.00 | 6.00 | 0.60 | 1.00 | 1.00 | 0.60 | 18.00 | 30.00 | 30.00 | 6.00 | 84.00 |
| 72 | 兴业证券 | 1.00 | 1.00 | 1.00 | 0.00 | 9.00 | 256.00 | 286.50 | 256.00 | 0.80 | 0.85 | 0.70 | 1.00 | 24.00 | 25.50 | 21.00 | 10.00 | 80.50 |
| 73 | 华创证券 | 1.00 | 0.00 | 3.00 | 0.00 | 11.00 | 82.00 | 19.00 | 82.00 | 0.80 | 1.00 | 0.70 | 1.00 | 24.00 | 30.00 | 21.00 | 10.00 | 85.00 |
| 74 | 平安证券 | 0.00 | 0.00 | 2.00 | 0.00 | 0.00 | 79.00 | 42.50 | 79.00 | 0.60 | 1.00 | 0.70 | 1.00 | 18.00 | 30.00 | 21.00 | 10.00 | 79.00 |
| 75 | 国都证券 | 0.00 | 2.00 | 1.00 | 0.00 | 3.00 | 45.50 | 52.00 | 45.50 | 1.00 | 0.60 | 0.70 | 1.00 | 30.00 | 18.00 | 21.00 | 10.00 | 79.00 |
| 76 | 国融证券 | 4.00 | 2.00 | 0.00 | 1.00 | 12.00 | 96.00 | 14.00 | 96.00 | 0.70 | 0.70 | 1.00 | 0.70 | 21.00 | 21.00 | 30.00 | 7.00 | 79.00 |
| 77 | 开源证券 | 2.00 | 1.00 | 0.00 | 1.00 | 13.00 | 12.00 | 129.50 | 12.00 | 0.80 | 0.60 | 1.00 | 0.60 | 24.00 | 18.00 | 30.00 | 6.00 | 78.00 |
| 78 | 国海证券 | 2.00 | 5.00 | 0.00 | 1.00 | 4.00 | 117.50 | 155.50 | 117.50 | 0.70 | 0.60 | 1.00 | 0.80 | 21.00 | 18.00 | 30.00 | 8.00 | 77.00 |
| 79 | 中信证券 | 1.00 | 1.00 | 1.00 | 0.00 | 6.00 | 154.00 | 191.00 | 154.00 | 0.70 | 0.80 | 0.70 | 1.00 | 21.00 | 24.00 | 21.00 | 10.00 | 76.00 |
| 80 | 信达证券 | 0.00 | 0.00 | 71.00 | 0.00 | 0.00 | 44.50 | 73.50 | 44.50 | 0.60 | 1.00 | 0.60 | 1.00 | 18.00 | 30.00 | 18.00 | 10.00 | 76.00 |
| 81 | 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 |
| 82 | 华林证券 | 2.00 | 2.00 | 0.00 | 2.00 | 2.00 | 61.00 | 40.50 | 61.00 | 0.60 | 0.70 | 1.00 | 0.70 | 18.00 | 21.00 | 30.00 | 7.00 | 76.00 |
| 83 | 联讯证券 | 1.00 | 2.00 | 0.00 | 2.00 | 2.00 | 34.00 | 183.50 | 34.00 | 0.70 | 0.60 | 1.00 | 0.60 | 21.00 | 18.00 | 30.00 | 6.00 | 75.00 |
| 84 | 西南证券 | 3.00 | 3.00 | 35.00 | 0.00 | 16.00 | 203.50 | 60.00 | 203.50 | 0.70 | 0.80 | 0.60 | 1.00 | 21.00 | 24.00 | 18.00 | 10.00 | 73.00 |
| 85 | 长城国瑞 | 0.00 | 0.00 | 1.00 | 0.00 | 3.00 | 0.00 | 1.00 | 0.00 | 1.00 | 0.60 | 0.60 | 0.60 | 30.00 | 18.00 | 18.00 | 6.00 | 72.00 |
| 86 | 万和证券 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 30.50 | 0.00 | 0.60 | 0.60 | 1.00 | 0.60 | 18.00 | 18.00 | 30.00 | 6.00 | 72.00 |
| 87 | 民族证券 | 1.00 | 1.00 | 3.00 | 0.00 | 4.00 | 34.00 | 11.00 | 34.00 | 0.70 | 0.70 | 0.60 | 1.00 | 21.00 | 21.00 | 18.00 | 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 | 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 |
| 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** | **10月排序** | **9月排序** | **4-10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 |  | 2.00 |  | 1.50 |  | 3.50 | 0.00 | 103.50 | 1 | 16 | 15 |
| 2 | 招商证券 | 98.00 | 1.00 | 1.00 | 1.00 | 1.00 |  | 4.00 | 0.00 | 102.00 | 2 | 36 | 9 |
| 3 | 上海证券 | 100.00 |  |  | 1.50 |  |  | 1.50 | 0.00 | 101.50 | 3 | 28 | 9 |
| 4 | 太平洋证券 | 100.00 |  | 1.00 |  |  |  | 1.00 | 0.00 | 101.00 | 4 | 28 | 9 |
| 5 | 万联证券 | 100.00 |  |  | 0.50 | 0.50 |  | 1.00 | 0.00 | 101.00 | 4 | 71 | 17 |
| 6 | 华龙证券 | 100.00 |  | 1.00 |  |  |  | 1.00 | 0.00 | 101.00 | 4 | 30 | 61 |
| 7 | 银河证券 | 100.00 |  |  |  | 0.50 |  | 0.50 | 0.00 | 100.50 | 7 | 6 | 4 |
| 8 | 东吴证券 | 98.00 | 0.50 |  |  |  | 2.00 | 2.50 | 0.00 | 100.50 | 7 | 30 | 19 |
| 9 | 九州证券 | 100.00 |  |  | 0.50 |  |  | 0.50 | 0.00 | 100.50 | 7 | 47 | 56 |
| 10 | 爱建证券 | 100.00 |  |  |  | 0.50 |  | 0.50 | 0.00 | 100.50 | 7 | 79 | 77 |
| 11 | 德邦证券 | 100.00 |  |  |  |  |  | 0.00 | 0.00 | 100.00 | 11 | 7 | 15 |
| 12 | 渤海证券 | 100.00 |  |  |  |  |  | 0.00 | 0.00 | 100.00 | 11 | 7 | 19 |
| 13 | 华泰证券 | 100.00 |  |  |  |  |  | 0.00 | 0.00 | 100.00 | 11 | 73 | 26 |
| 14 | 红塔证券 | 100.00 |  |  |  |  |  | 0.00 | 0.00 | 100.00 | 11 | 49 | 41 |
| 15 | 川财证券 | 100.00 |  |  |  |  |  | 0.00 | 0.00 | 100.00 | 11 | 14 | 44 |
| 16 | 山西证券 | 100.00 |  |  |  |  |  | 0.00 | 0.00 | 100.00 | 11 | 73 | 55 |
| 17 | 中金公司 | 100.00 |  |  |  |  |  | 0.00 | 0.00 | 100.00 | 11 | 49 | 56 |
| 18 | 华西证券 | 100.00 |  |  |  |  |  | 0.00 | 0.00 | 100.00 | 11 | 49 | 61 |
| 19 | 国盛证券 | 100.00 |  |  |  |  |  | 0.00 | 0.00 | 100.00 | 11 | 65 | 71 |
| 20 | 长江证券 | 95.50 | 1.00 | 3.00 |  |  |  | 4.00 | 0.00 | 99.50 | 20 | 4 | 8 |
| 21 | 广州证券 | 98.00 |  |  | 0.50 |  |  | 0.50 | 0.00 | 98.50 | 21 | 3 | 56 |
| 22 | 东北证券 | 92.00 | 1.00 | 2.00 | 0.50 |  | 2.00 | 5.50 | 0.00 | 97.50 | 22 | 27 | 9 |
| 23 | 中投证券 | 97.00 |  |  |  |  |  | 0.00 | 0.00 | 97.00 | 23 | 64 | 56 |
| 24 | 长城证券 | 97.00 |  |  |  |  |  | 0.00 | 0.00 | 97.00 | 23 | 66 | 64 |
| 25 | 中泰证券 | 91.00 | 2.00 | 3.00 | 0.50 |  |  | 5.50 | 0.00 | 96.50 | 25 | 19 | 1 |
| 26 | 东方证券 | 94.00 |  |  | 1.50 | 1.00 |  | 2.50 | 0.00 | 96.50 | 25 | 2 | 6 |
| 27 | 东莞证券 | 94.00 | 0.50 | 2.00 |  |  |  | 2.50 | 0.00 | 96.50 | 25 | 14 | 66 |
| 28 | 湘财证券 | 97.00 |  |  |  |  |  | 0.00 | -1.00 | 96.00 | 28 | 19 | 37 |
| 29 | 国金证券 | 91.00 | 0.50 | 3.00 |  | 1.00 |  | 4.50 | 0.00 | 95.50 | 29 | 25 | 41 |
| 30 | 中山证券 | 94.00 |  |  | 1.00 |  |  | 1.00 | 0.00 | 95.00 | 30 | 71 | 29 |
| 31 | 南京证券 | 94.00 |  |  |  |  |  | 0.00 | 0.00 | 94.00 | 31 | 70 | 26 |
| 32 | 华福证券 | 94.00 |  |  |  |  |  | 0.00 | 0.00 | 94.00 | 31 | 87 | 56 |
| 33 | 中信建投 | 88.00 | 2.00 | 3.00 | 0.50 |  |  | 5.50 | 0.00 | 93.50 | 33 | 5 | 3 |
| 34 | 国信证券 | 85.00 | 2.00 | 3.00 | 1.50 | 1.50 |  | 8.00 | 0.00 | 93.00 | 34 | 10 | 18 |
| 35 | 光大证券 | 91.00 | 0.50 | 1.00 |  |  |  | 1.50 | 0.00 | 92.50 | 35 | 10 | 6 |
| 36 | 国联证券 | 91.00 |  | 1.00 |  |  |  | 1.00 | 0.00 | 92.00 | 36 | 42 | 44 |
| 37 | 海通证券 | 89.00 | 0.50 |  | 1.50 | 0.50 |  | 2.50 | 0.00 | 91.50 | 37 | 36 | 22 |
| 38 | 华融证券 | 91.00 |  |  | 0.50 |  |  | 0.50 | 0.00 | 91.50 | 37 | 42 | 31 |
| 39 | 西部证券 | 91.00 | 0.50 |  |  |  |  | 0.50 | 0.00 | 91.50 | 37 | 10 | 31 |
| 40 | 广发证券 | 86.00 | 2.00 | 2.00 | 1.00 |  |  | 5.00 | 0.00 | 91.00 | 40 | 24 | 19 |
| 41 | 华鑫证券 | 91.00 |  |  |  |  |  | 0.00 | 0.00 | 91.00 | 40 | 49 | 22 |
| 42 | 天风证券 | 91.00 |  |  |  |  |  | 0.00 | 0.00 | 91.00 | 40 | 25 | 24 |
| 43 | 英大证券 | 91.00 |  |  |  |  |  | 0.00 | 0.00 | 91.00 | 40 | 73 | 37 |
| 44 | 财富证券 | 91.00 |  |  |  |  |  | 0.00 | 0.00 | 91.00 | 40 | 78 | 44 |
| 45 | 东海证券 | 91.00 |  |  |  |  |  | 0.00 | 0.00 | 91.00 | 40 | 80 | 49 |
| 46 | 江海证券 | 91.00 |  |  |  |  |  | 0.00 | 0.00 | 91.00 | 40 | 68 | 49 |
| 47 | 民生证券 | 91.00 |  |  |  |  |  | 0.00 | 0.00 | 91.00 | 40 | 19 | 49 |
| 48 | 财达证券 | 91.00 |  |  |  |  |  | 0.00 | 0.00 | 91.00 | 40 | 42 | 53 |
| 49 | 申万宏源 | 85.00 | 2.00 | 2.00 | 0.50 | 0.50 |  | 5.00 | 0.00 | 90.00 | 49 | 23 | 5 |
| 50 | 大通证券 | 88.00 |  | 1.00 |  | 1.00 |  | 2.00 | 0.00 | 90.00 | 49 | 18 | 31 |
| 51 | 浙商证券 | 88.00 |  | 2.00 |  |  |  | 2.00 | 0.00 | 90.00 | 49 | 30 | 74 |
| 52 | 首创证券 | 88.00 |  |  | 0.50 | 1.00 |  | 1.50 | 0.00 | 89.50 | 52 | 16 | 35 |
| 53 | 中原证券 | 85.00 | 0.50 | 1.00 |  |  | 2.00 | 3.50 | 0.00 | 88.50 | 53 | 30 | 66 |
| 54 | 五矿证券 | 88.00 |  |  |  | 0.50 |  | 0.50 | 0.00 | 88.50 | 53 | 61 | 77 |
| 55 | 世纪证券 | 88.00 |  |  |  |  |  | 0.00 | 0.00 | 88.00 | 55 | 49 | 2 |
| 56 | 华金证券 | 88.00 |  |  |  |  |  | 0.00 | 0.00 | 88.00 | 55 | 10 | 9 |
| 57 | 金元证券 | 88.00 |  |  |  |  |  | 0.00 | 0.00 | 88.00 | 55 | 30 | 35 |
| 58 | 国开证券 | 88.00 |  |  |  |  |  | 0.00 | 0.00 | 88.00 | 55 | 49 | 61 |
| 59 | 恒泰证券 | 88.00 |  |  |  |  |  | 0.00 | 0.00 | 88.00 | 55 | 81 | 64 |
| 60 | 国元证券 | 88.00 |  |  |  |  |  | 0.00 | 0.00 | 88.00 | 55 | 81 | 70 |
| 61 | 中航证券 | 88.00 |  |  |  |  |  | 0.00 | 0.00 | 88.00 | 55 | 49 | 75 |
| 62 | 东方财富 | 88.00 |  |  |  |  |  | 0.00 | 0.00 | 88.00 | 55 | 73 | 76 |
| 63 | 新时代证券 | 88.00 |  | 1.00 |  |  |  | 1.00 | -2.00 | 87.00 | 63 | 69 | 49 |
| 64 | 国泰君安 | 82.00 | 1.00 |  | 1.50 | 1.50 |  | 4.00 | 0.00 | 86.00 | 64 | 60 | 9 |
| 65 | 中银国际 | 85.00 |  | 1.00 |  |  |  | 1.00 | 0.00 | 86.00 | 64 | 19 | 29 |
| 66 | 财通证券 | 85.00 | 0.50 |  |  | 0.50 |  | 1.00 | 0.00 | 86.00 | 64 | 47 | 39 |
| 67 | 第一创业 | 84.00 |  |  |  |  |  | 0.00 | 0.00 | 84.00 | 67 | 7 | 26 |
| 68 | 安信证券 | 78.50 | 1.00 | 3.00 | 1.00 | 0.50 |  | 5.50 | 0.00 | 84.00 | 67 | 77 | 39 |
| 69 | 华安证券 | 88.00 |  | 1.00 |  |  |  | 1.00 | -5.00 | 84.00 | 67 | 49 | 41 |
| 70 | 东兴证券 | 88.00 |  | 1.00 |  |  |  | 1.00 | -5.00 | 84.00 | 67 | 38 | 82 |
| 71 | 宏信证券 | 84.00 |  |  |  |  |  | 0.00 | 0.00 | 84.00 | 67 | 85 | 87 |
| 72 | 兴业证券 | 80.50 | 0.50 |  | 1.00 |  |  | 1.50 | 0.00 | 82.00 | 72 | 38 | 24 |
| 73 | 华创证券 | 85.00 |  |  |  | 1.50 |  | 1.50 | -5.00 | 81.50 | 73 | 41 | 77 |
| 74 | 平安证券 | 79.00 |  |  |  | 1.50 |  | 1.50 | 0.00 | 80.50 | 74 | 86 | 77 |
| 75 | 国都证券 | 79.00 |  |  |  |  |  | 0.00 | 0.00 | 79.00 | 75 | 38 | 69 |
| 76 | 国融证券 | 79.00 |  |  |  |  |  | 0.00 | 0.00 | 79.00 | 75 | 42 | 71 |
| 77 | 开源证券 | 78.00 |  |  |  |  |  | 0.00 | 0.00 | 78.00 | 77 | 61 | 66 |
| 78 | 国海证券 | 77.00 |  | 1.00 |  |  |  | 1.00 | 0.00 | 78.00 | 77 | 61 | 86 |
| 79 | 中信证券 | 76.00 | 0.50 |  | 0.50 | 0.50 |  | 1.50 | 0.00 | 77.50 | 79 | 1 | 31 |
| 80 | 信达证券 | 76.00 |  |  |  |  |  | 0.00 | 0.00 | 76.00 | 80 | 49 | 44 |
| 81 | 华信证券 | 76.00 |  |  |  |  |  | 0.00 | 0.00 | 76.00 | 80 | 49 | 71 |
| 82 | 华林证券 | 76.00 |  |  |  |  |  | 0.00 | 0.00 | 76.00 | 80 | 30 | 77 |
| 83 | 联讯证券 | 75.00 |  |  |  |  |  | 0.00 | 0.00 | 75.00 | 83 | 49 | 53 |
| 84 | 西南证券 | 73.00 | 0.50 | 1.00 |  |  |  | 1.50 | 0.00 | 74.50 | 84 | 42 | 44 |
| 85 | 长城国瑞 | 72.00 |  |  |  | 0.50 |  | 0.50 | 0.00 | 72.50 | 85 | 83 | 83 |
| 86 | 万和证券 | 72.00 |  |  |  |  |  | 0.00 | 0.00 | 72.00 | 86 | 84 | 83 |
| 87 | 民族证券 | 70.00 |  |  |  |  |  | 0.00 | 0.00 | 70.00 | 87 | 66 | 85 |
| 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 |

\*9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。

\*\*4-10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)