附件

主办券商执业质量月度评价结果（2018年9月）

一、综合点值[[1]](#endnote-1)

| **序号** | **主办券商** | **调整后负面行为记录数量** | | | | **业务量** | | | | **业务点值计算系数(b)** | | | | **难度系数(c)** | | | | [**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**  **(c1)** | **挂牌后督导**  **(b2)** | **交易**  **管理**  **(c3)** | **综合**  **管理**  **(c4)** | **推荐**  **挂牌**  **(b1\*c1\*20)** | **挂牌**  **后督**  **导**  **(b2\*c2\*40)** | **交易**  **管理**  **(b3\*c3\*30)** | **综合**  **管理**  **(b4\*c4\*10)** | **合计** |
| 1 | 申万宏源 | 0.00 | 0.00 | 0.00 | 0.00 | 2.00 | 616.00 | 205.50 | 616.00 | 1.00 | 1.00 | 1.00 | 1.00 | 1.00 | 1.00 | 1.00 | 1.00 | 20.00 | 40.00 | 30.00 | 10.00 | 100.00 |
| 2 | 中泰证券 | 0.00 | 0.00 | 0.00 | 0.00 | 1.00 | 465.00 | 160.50 | 465.00 | 1.00 | 1.00 | 1.00 | 1.00 | 1.00 | 1.00 | 1.00 | 1.00 | 20.00 | 40.00 | 30.00 | 10.00 | 100.00 |
| 3 | 山西证券 | 0.00 | 0.00 | 0.00 | 0.00 | 1.00 | 101.50 | 51.00 | 101.50 | 1.00 | 1.00 | 1.00 | 1.00 | 1.00 | 1.00 | 1.00 | 1.00 | 20.00 | 40.00 | 30.00 | 10.00 | 100.00 |
| 4 | 国泰君安 | 0.00 | 0.00 | 0.00 | 0.00 | 1.00 | 197.50 | 174.00 | 197.50 | 1.00 | 1.00 | 1.00 | 1.00 | 1.00 | 1.00 | 1.00 | 1.00 | 20.00 | 40.00 | 30.00 | 10.00 | 100.00 |
| 5 | 天风证券 | 0.00 | 0.00 | 0.00 | 0.50 | 1.00 | 160.00 | 122.00 | 160.00 | 1.00 | 1.00 | 1.00 | 0.60 | 1.00 | 1.00 | 1.00 | 1.00 | 20.00 | 40.00 | 30.00 | 6.00 | 96.00 |
| 6 | 江海证券 | 0.00 | 0.00 | 0.00 | 0.00 | 2.00 | 81.00 | 34.00 | 81.00 | 1.00 | 1.00 | 1.00 | 1.00 | 1.00 | 1.00 | 1.00 | 1.00 | 20.00 | 40.00 | 30.00 | 10.00 | 100.00 |
| 7 | 华福证券 | 0.00 | 0.00 | 0.00 | 0.00 | 1.00 | 52.00 | 43.50 | 52.00 | 1.00 | 1.00 | 1.00 | 1.00 | 1.00 | 1.00 | 1.00 | 1.00 | 20.00 | 40.00 | 30.00 | 10.00 | 100.00 |
| 8 | 广发证券 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 265.50 | 146.50 | 265.50 | 0.60 | 1.00 | 1.00 | 1.00 | 0.80 | 1.00 | 1.00 | 1.00 | 9.60 | 40.00 | 30.00 | 10.00 | 89.60 |
| 9 | 华金证券 | 0.00 | 0.00 | 0.00 | 0.00 | 1.00 | 16.00 | 37.00 | 16.00 | 1.00 | 1.00 | 1.00 | 1.00 | 1.00 | 0.90 | 1.00 | 0.90 | 20.00 | 36.00 | 30.00 | 9.00 | 95.00 |
| 10 | 安信证券 | 0.00 | 4.00 | 0.00 | 0.00 | 2.00 | 534.50 | 112.00 | 534.50 | 1.00 | 0.70 | 1.00 | 1.00 | 1.00 | 1.00 | 1.00 | 1.00 | 20.00 | 28.00 | 30.00 | 10.00 | 88.00 |
| 11 | 东北证券 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 331.00 | 113.50 | 331.00 | 0.60 | 1.00 | 1.00 | 1.00 | 0.80 | 1.00 | 1.00 | 1.00 | 9.60 | 40.00 | 30.00 | 10.00 | 89.60 |
| 12 | 开源证券 | 1.00 | 0.00 | 0.00 | 0.00 | 6.00 | 230.50 | 83.50 | 230.50 | 0.70 | 1.00 | 1.00 | 1.00 | 1.00 | 1.00 | 1.00 | 1.00 | 14.00 | 40.00 | 30.00 | 10.00 | 94.00 |
| 13 | 长江证券 | 0.00 | 1.00 | 0.00 | 0.00 | 1.00 | 369.50 | 157.00 | 369.50 | 1.00 | 0.70 | 1.00 | 1.00 | 1.00 | 1.00 | 1.00 | 1.00 | 20.00 | 28.00 | 30.00 | 10.00 | 88.00 |
| 14 | 国金证券 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 129.00 | 25.50 | 129.00 | 0.60 | 1.00 | 1.00 | 1.00 | 0.80 | 1.00 | 1.00 | 1.00 | 9.60 | 40.00 | 30.00 | 10.00 | 89.60 |
| 15 | 华西证券 | 0.00 | 0.00 | 0.00 | 0.00 | 1.00 | 61.50 | 6.00 | 61.50 | 1.00 | 1.00 | 1.00 | 1.00 | 1.00 | 1.00 | 0.90 | 1.00 | 20.00 | 40.00 | 27.00 | 10.00 | 97.00 |
| 16 | 国信证券 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 238.00 | 59.00 | 238.00 | 0.60 | 1.00 | 1.00 | 1.00 | 0.80 | 1.00 | 1.00 | 1.00 | 9.60 | 40.00 | 30.00 | 10.00 | 89.60 |
| 17 | 西南证券 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 257.00 | 37.50 | 257.00 | 0.60 | 1.00 | 1.00 | 1.00 | 0.80 | 1.00 | 1.00 | 1.00 | 9.60 | 40.00 | 30.00 | 10.00 | 89.60 |
| 18 | 方正证券 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 211.50 | 41.00 | 211.50 | 0.60 | 1.00 | 1.00 | 1.00 | 0.80 | 1.00 | 1.00 | 1.00 | 9.60 | 40.00 | 30.00 | 10.00 | 89.60 |
| 19 | 上海证券 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 82.00 | 171.50 | 82.00 | 0.60 | 1.00 | 1.00 | 1.00 | 0.80 | 1.00 | 1.00 | 1.00 | 9.60 | 40.00 | 30.00 | 10.00 | 89.60 |
| 20 | 东海证券 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 67.00 | 16.00 | 67.00 | 0.60 | 1.00 | 1.00 | 1.00 | 0.80 | 1.00 | 1.00 | 1.00 | 9.60 | 40.00 | 30.00 | 10.00 | 89.60 |
| 21 | 广州证券 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 102.50 | 109.50 | 102.50 | 0.60 | 1.00 | 1.00 | 1.00 | 0.80 | 1.00 | 1.00 | 1.00 | 9.60 | 40.00 | 30.00 | 10.00 | 89.60 |
| 22 | 华龙证券 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 91.50 | 44.00 | 91.50 | 0.60 | 1.00 | 1.00 | 1.00 | 0.80 | 1.00 | 1.00 | 1.00 | 9.60 | 40.00 | 30.00 | 10.00 | 89.60 |
| 23 | 中信建投 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 329.00 | 44.00 | 329.00 | 0.60 | 1.00 | 1.00 | 1.00 | 0.80 | 1.00 | 1.00 | 1.00 | 9.60 | 40.00 | 30.00 | 10.00 | 89.60 |
| 24 | 太平洋证券 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 151.00 | 36.00 | 151.00 | 0.60 | 1.00 | 1.00 | 1.00 | 0.80 | 1.00 | 1.00 | 1.00 | 9.60 | 40.00 | 30.00 | 10.00 | 89.60 |
| 25 | 海通证券 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 160.50 | 104.50 | 160.50 | 0.60 | 1.00 | 1.00 | 1.00 | 0.80 | 1.00 | 1.00 | 1.00 | 9.60 | 40.00 | 30.00 | 10.00 | 89.60 |
| 26 | 民生证券 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 68.00 | 51.50 | 68.00 | 0.60 | 1.00 | 1.00 | 1.00 | 0.80 | 1.00 | 1.00 | 1.00 | 9.60 | 40.00 | 30.00 | 10.00 | 89.60 |
| 27 | 中银国际 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 91.50 | 55.50 | 91.50 | 0.60 | 1.00 | 1.00 | 1.00 | 0.80 | 1.00 | 1.00 | 1.00 | 9.60 | 40.00 | 30.00 | 10.00 | 89.60 |
| 28 | 华融证券 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 76.50 | 68.50 | 76.50 | 0.60 | 1.00 | 1.00 | 1.00 | 0.80 | 1.00 | 1.00 | 1.00 | 9.60 | 40.00 | 30.00 | 10.00 | 89.60 |
| 29 | 渤海证券 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 48.00 | 47.00 | 48.00 | 0.60 | 1.00 | 1.00 | 1.00 | 0.80 | 1.00 | 1.00 | 1.00 | 9.60 | 40.00 | 30.00 | 10.00 | 89.60 |
| 30 | 西部证券 | 0.00 | 1.00 | 0.00 | 0.00 | 1.00 | 226.00 | 77.00 | 226.00 | 1.00 | 0.70 | 1.00 | 1.00 | 1.00 | 1.00 | 1.00 | 1.00 | 20.00 | 28.00 | 30.00 | 10.00 | 88.00 |
| 31 | 东莞证券 | 0.00 | 0.00 | 3.00 | 0.00 | 3.00 | 251.00 | 72.00 | 251.00 | 1.00 | 1.00 | 0.60 | 1.00 | 1.00 | 1.00 | 1.00 | 1.00 | 20.00 | 40.00 | 18.00 | 10.00 | 88.00 |
| 32 | 长城国瑞 | 0.00 | 0.00 | 0.00 | 0.00 | 1.00 | 8.00 | 1.00 | 8.00 | 1.00 | 1.00 | 1.00 | 1.00 | 1.00 | 0.90 | 0.80 | 0.90 | 20.00 | 36.00 | 24.00 | 9.00 | 89.00 |
| 33 | 湘财证券 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 64.00 | 15.00 | 64.00 | 0.60 | 1.00 | 1.00 | 1.00 | 0.80 | 1.00 | 1.00 | 1.00 | 9.60 | 40.00 | 30.00 | 10.00 | 89.60 |
| 34 | 东方证券 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 48.50 | 62.00 | 48.50 | 0.60 | 1.00 | 1.00 | 1.00 | 0.80 | 1.00 | 1.00 | 1.00 | 9.60 | 40.00 | 30.00 | 10.00 | 89.60 |
| 35 | 万联证券 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 82.00 | 74.50 | 82.00 | 0.60 | 1.00 | 1.00 | 1.00 | 0.80 | 1.00 | 1.00 | 1.00 | 9.60 | 40.00 | 30.00 | 10.00 | 89.60 |
| 36 | 中山证券 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 65.00 | 134.00 | 65.00 | 0.60 | 1.00 | 1.00 | 1.00 | 0.80 | 1.00 | 1.00 | 1.00 | 9.60 | 40.00 | 30.00 | 10.00 | 89.60 |
| 37 | 联储证券 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 26.00 | 20.00 | 26.00 | 0.60 | 1.00 | 1.00 | 1.00 | 0.80 | 1.00 | 1.00 | 1.00 | 9.60 | 40.00 | 30.00 | 10.00 | 89.60 |
| 38 | 平安证券 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 64.50 | 38.00 | 64.50 | 0.60 | 1.00 | 1.00 | 1.00 | 0.80 | 1.00 | 1.00 | 1.00 | 9.60 | 40.00 | 30.00 | 10.00 | 89.60 |
| 39 | 华安证券 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 90.00 | 82.00 | 90.00 | 0.60 | 1.00 | 1.00 | 1.00 | 0.80 | 1.00 | 1.00 | 1.00 | 9.60 | 40.00 | 30.00 | 10.00 | 89.60 |
| 40 | 南京证券 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 66.00 | 45.00 | 66.00 | 0.60 | 1.00 | 1.00 | 1.00 | 0.80 | 1.00 | 1.00 | 1.00 | 9.60 | 40.00 | 30.00 | 10.00 | 89.60 |
| 41 | 银河证券 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 86.00 | 46.00 | 86.00 | 0.60 | 1.00 | 1.00 | 1.00 | 0.80 | 1.00 | 1.00 | 1.00 | 9.60 | 40.00 | 30.00 | 10.00 | 89.60 |
| 42 | 长城证券 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 87.00 | 23.00 | 87.00 | 0.60 | 1.00 | 1.00 | 1.00 | 0.80 | 1.00 | 1.00 | 1.00 | 9.60 | 40.00 | 30.00 | 10.00 | 89.60 |
| 43 | 华泰证券 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 44.00 | 29.50 | 44.00 | 0.60 | 1.00 | 1.00 | 1.00 | 0.80 | 1.00 | 1.00 | 1.00 | 9.60 | 40.00 | 30.00 | 10.00 | 89.60 |
| 44 | 金元证券 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 80.50 | 44.50 | 80.50 | 0.60 | 1.00 | 1.00 | 1.00 | 0.80 | 1.00 | 1.00 | 1.00 | 9.60 | 40.00 | 30.00 | 10.00 | 89.60 |
| 45 | 第一创业 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 24.50 | 97.00 | 24.50 | 0.60 | 1.00 | 1.00 | 1.00 | 0.80 | 1.00 | 1.00 | 1.00 | 9.60 | 40.00 | 30.00 | 10.00 | 89.60 |
| 46 | 国盛证券 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 69.00 | 13.50 | 69.00 | 0.60 | 1.00 | 1.00 | 1.00 | 0.80 | 1.00 | 1.00 | 1.00 | 9.60 | 40.00 | 30.00 | 10.00 | 89.60 |
| 47 | 信达证券 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 55.50 | 66.50 | 55.50 | 0.60 | 1.00 | 1.00 | 1.00 | 0.80 | 1.00 | 1.00 | 1.00 | 9.60 | 40.00 | 30.00 | 10.00 | 89.60 |
| 48 | 华鑫证券 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 39.00 | 24.50 | 39.00 | 0.60 | 1.00 | 1.00 | 1.00 | 0.80 | 1.00 | 1.00 | 1.00 | 9.60 | 40.00 | 30.00 | 10.00 | 89.60 |
| 49 | 德邦证券 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 41.00 | 26.50 | 41.00 | 0.60 | 1.00 | 1.00 | 1.00 | 0.80 | 1.00 | 1.00 | 1.00 | 9.60 | 40.00 | 30.00 | 10.00 | 89.60 |
| 50 | 英大证券 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 34.00 | 16.00 | 34.00 | 0.60 | 1.00 | 1.00 | 1.00 | 0.80 | 1.00 | 1.00 | 1.00 | 9.60 | 40.00 | 30.00 | 10.00 | 89.60 |
| 51 | 中原证券 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 150.00 | 26.00 | 150.00 | 0.60 | 1.00 | 1.00 | 1.00 | 0.80 | 1.00 | 1.00 | 1.00 | 9.60 | 40.00 | 30.00 | 10.00 | 89.60 |
| 52 | 国元证券 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 124.50 | 34.00 | 124.50 | 0.60 | 1.00 | 1.00 | 1.00 | 0.80 | 1.00 | 1.00 | 1.00 | 9.60 | 40.00 | 30.00 | 10.00 | 89.60 |
| 53 | 五矿证券 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 52.50 | 16.00 | 52.50 | 0.60 | 1.00 | 1.00 | 1.00 | 0.80 | 1.00 | 1.00 | 1.00 | 9.60 | 40.00 | 30.00 | 10.00 | 89.60 |
| 54 | 国海证券 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 118.00 | 95.50 | 118.00 | 0.60 | 1.00 | 1.00 | 1.00 | 0.80 | 1.00 | 1.00 | 1.00 | 9.60 | 40.00 | 30.00 | 10.00 | 89.60 |
| 55 | 东方财富 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 45.00 | 23.00 | 45.00 | 0.60 | 1.00 | 1.00 | 1.00 | 0.80 | 1.00 | 1.00 | 1.00 | 9.60 | 40.00 | 30.00 | 10.00 | 89.60 |
| 56 | 首创证券 | 0.00 | 1.00 | 0.00 | 0.00 | 2.00 | 120.50 | 59.00 | 120.50 | 1.00 | 0.70 | 1.00 | 1.00 | 1.00 | 1.00 | 1.00 | 1.00 | 20.00 | 28.00 | 30.00 | 10.00 | 88.00 |
| 57 | 中航证券 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 29.50 | 6.00 | 29.50 | 0.60 | 1.00 | 1.00 | 1.00 | 0.80 | 1.00 | 0.90 | 1.00 | 9.60 | 40.00 | 27.00 | 10.00 | 86.60 |
| 58 | 国融证券 | 0.50 | 0.00 | 0.00 | 0.00 | 0.00 | 259.50 | 7.00 | 259.50 | 0.60 | 1.00 | 1.00 | 1.00 | 0.80 | 1.00 | 0.90 | 1.00 | 9.60 | 40.00 | 27.00 | 10.00 | 86.60 |
| 59 | 恒泰证券 | 0.00 | 0.00 | 3.00 | 0.00 | 2.00 | 120.00 | 38.00 | 120.00 | 1.00 | 1.00 | 0.60 | 1.00 | 1.00 | 1.00 | 1.00 | 1.00 | 20.00 | 40.00 | 18.00 | 10.00 | 88.00 |
| 60 | 东兴证券 | 0.00 | 2.00 | 0.00 | 0.00 | 1.00 | 141.00 | 65.50 | 141.00 | 1.00 | 0.70 | 1.00 | 1.00 | 1.00 | 1.00 | 1.00 | 1.00 | 20.00 | 28.00 | 30.00 | 10.00 | 88.00 |
| 61 | 大通证券 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 42.00 | 7.00 | 42.00 | 0.60 | 1.00 | 1.00 | 1.00 | 0.80 | 1.00 | 0.90 | 1.00 | 9.60 | 40.00 | 27.00 | 10.00 | 86.60 |
| 62 | 财通证券 | 0.00 | 0.00 | 0.00 | 0.50 | 0.00 | 223.50 | 67.00 | 223.50 | 0.60 | 1.00 | 1.00 | 0.60 | 0.80 | 1.00 | 1.00 | 1.00 | 9.60 | 40.00 | 30.00 | 6.00 | 85.60 |
| 63 | 华创证券 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 108.00 | 9.50 | 108.00 | 0.60 | 1.00 | 1.00 | 1.00 | 0.80 | 1.00 | 0.90 | 1.00 | 9.60 | 40.00 | 27.00 | 10.00 | 86.60 |
| 64 | 国都证券 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 63.50 | 40.00 | 63.50 | 0.60 | 1.00 | 1.00 | 1.00 | 0.80 | 1.00 | 1.00 | 1.00 | 9.60 | 40.00 | 30.00 | 10.00 | 89.60 |
| 65 | 新时代证券 | 1.50 | 0.00 | 0.00 | 0.00 | 0.00 | 135.00 | 3.00 | 135.00 | 0.60 | 1.00 | 1.00 | 1.00 | 0.80 | 1.00 | 0.90 | 1.00 | 9.60 | 40.00 | 27.00 | 10.00 | 86.60 |
| 66 | 九州证券 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 19.50 | 144.00 | 19.50 | 0.60 | 1.00 | 1.00 | 1.00 | 0.80 | 0.90 | 1.00 | 0.90 | 9.60 | 36.00 | 30.00 | 9.00 | 84.60 |
| 67 | 财富证券 | 0.00 | 0.00 | 0.00 | 0.50 | 0.00 | 63.00 | 56.50 | 63.00 | 0.60 | 1.00 | 1.00 | 0.60 | 0.80 | 1.00 | 1.00 | 1.00 | 9.60 | 40.00 | 30.00 | 6.00 | 85.60 |
| 68 | 东吴证券 | 0.50 | 2.50 | 0.00 | 0.00 | 2.00 | 381.50 | 27.50 | 381.50 | 0.70 | 0.70 | 1.00 | 1.00 | 1.00 | 1.00 | 1.00 | 1.00 | 14.00 | 28.00 | 30.00 | 10.00 | 82.00 |
| 69 | 世纪证券 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 9.00 | 60.50 | 9.00 | 0.60 | 1.00 | 1.00 | 1.00 | 0.80 | 0.90 | 1.00 | 0.90 | 9.60 | 36.00 | 30.00 | 9.00 | 84.60 |
| 70 | 中金公司 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 13.00 | 22.00 | 13.00 | 0.60 | 1.00 | 1.00 | 1.00 | 0.80 | 0.90 | 1.00 | 0.90 | 9.60 | 36.00 | 30.00 | 9.00 | 84.60 |
| 71 | 爱建证券 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 17.00 | 12.00 | 17.00 | 0.60 | 1.00 | 1.00 | 1.00 | 0.80 | 0.90 | 1.00 | 0.90 | 9.60 | 36.00 | 30.00 | 9.00 | 84.60 |
| 72 | 民族证券 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 36.50 | 1.50 | 36.50 | 0.60 | 1.00 | 1.00 | 1.00 | 0.80 | 1.00 | 0.80 | 1.00 | 9.60 | 40.00 | 24.00 | 10.00 | 83.60 |
| 73 | 财达证券 | 0.00 | 0.00 | 0.50 | 0.00 | 0.00 | 97.00 | 43.50 | 97.00 | 0.60 | 1.00 | 0.70 | 1.00 | 0.80 | 1.00 | 1.00 | 1.00 | 9.60 | 40.00 | 21.00 | 10.00 | 80.60 |
| 74 | 申港证券 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 17.50 | 5.00 | 17.50 | 0.60 | 1.00 | 1.00 | 1.00 | 0.80 | 0.90 | 0.90 | 0.90 | 9.60 | 36.00 | 27.00 | 9.00 | 81.60 |
| 75 | 招商证券 | 0.00 | 2.00 | 0.00 | 0.00 | 0.00 | 356.50 | 59.00 | 356.50 | 0.60 | 0.70 | 1.00 | 1.00 | 0.80 | 1.00 | 1.00 | 1.00 | 9.60 | 28.00 | 30.00 | 10.00 | 77.60 |
| 76 | 光大证券 | 0.00 | 0.00 | 3.00 | 0.00 | 0.00 | 230.50 | 84.00 | 230.50 | 0.60 | 1.00 | 0.60 | 1.00 | 0.80 | 1.00 | 1.00 | 1.00 | 9.60 | 40.00 | 18.00 | 10.00 | 77.60 |
| 77 | 大同证券 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 14.00 | 7.50 | 14.00 | 0.60 | 1.00 | 1.00 | 1.00 | 0.80 | 0.90 | 0.90 | 0.90 | 9.60 | 36.00 | 27.00 | 9.00 | 81.60 |
| 78 | 川财证券 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 17.00 | 9.00 | 17.00 | 0.60 | 1.00 | 1.00 | 1.00 | 0.80 | 0.90 | 0.90 | 0.90 | 9.60 | 36.00 | 27.00 | 9.00 | 81.60 |
| 79 | 浙商证券 | 0.00 | 1.00 | 0.00 | 0.00 | 0.00 | 136.50 | 67.00 | 136.50 | 0.60 | 0.70 | 1.00 | 1.00 | 0.80 | 1.00 | 1.00 | 1.00 | 9.60 | 28.00 | 30.00 | 10.00 | 77.60 |
| 80 | 万和证券 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 5.00 | 37.00 | 5.00 | 0.60 | 1.00 | 1.00 | 1.00 | 0.80 | 0.80 | 1.00 | 0.80 | 9.60 | 32.00 | 30.00 | 8.00 | 79.60 |
| 81 | 国开证券 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 7.00 | 21.00 | 7.00 | 0.60 | 1.00 | 1.00 | 1.00 | 0.80 | 0.80 | 1.00 | 0.80 | 9.60 | 32.00 | 30.00 | 8.00 | 79.60 |
| 82 | 联讯证券 | 0.00 | 1.50 | 0.00 | 0.00 | 0.00 | 56.00 | 156.50 | 56.00 | 0.60 | 0.70 | 1.00 | 1.00 | 0.80 | 1.00 | 1.00 | 1.00 | 9.60 | 28.00 | 30.00 | 10.00 | 77.60 |
| 83 | 华林证券 | 0.00 | 1.00 | 0.00 | 0.00 | 0.00 | 53.50 | 25.50 | 53.50 | 0.60 | 0.70 | 1.00 | 1.00 | 0.80 | 1.00 | 1.00 | 1.00 | 9.60 | 28.00 | 30.00 | 10.00 | 77.60 |
| 84 | 国联证券 | 0.00 | 0.50 | 0.00 | 0.00 | 0.00 | 126.00 | 48.50 | 126.00 | 0.60 | 0.70 | 1.00 | 1.00 | 0.80 | 1.00 | 1.00 | 1.00 | 9.60 | 28.00 | 30.00 | 10.00 | 77.60 |
| 85 | 兴业证券 | 0.00 | 2.50 | 0.00 | 0.00 | 0.00 | 319.50 | 100.50 | 319.50 | 0.60 | 0.70 | 1.00 | 1.00 | 0.80 | 1.00 | 1.00 | 1.00 | 9.60 | 28.00 | 30.00 | 10.00 | 77.60 |
| 86 | 中信证券 | 0.00 | 1.00 | 0.00 | 0.00 | 0.00 | 30.00 | 99.00 | 30.00 | 0.60 | 0.60 | 1.00 | 1.00 | 0.80 | 1.00 | 1.00 | 1.00 | 9.60 | 24.00 | 30.00 | 10.00 | 73.60 |
| 87 | 红塔证券 | 0.00 | 0.00 | 1.50 | 0.00 | 0.00 | 9.00 | 35.00 | 9.00 | 0.60 | 1.00 | 0.60 | 1.00 | 0.80 | 0.90 | 1.00 | 0.90 | 9.60 | 36.00 | 18.00 | 9.00 | 72.60 |
| 88 | 中投证券 | 0.00 | 3.50 | 0.00 | 0.00 | 0.00 | 26.50 | 57.00 | 26.50 | 0.60 | 0.60 | 1.00 | 1.00 | 0.80 | 1.00 | 1.00 | 1.00 | 9.60 | 24.00 | 30.00 | 10.00 | 73.60 |
| 89 | 网信证券 | 0.00 | 1.50 | 0.00 | 0.00 | 0.00 | 24.00 | 12.00 | 24.00 | 0.60 | 0.60 | 1.00 | 1.00 | 0.80 | 1.00 | 1.00 | 1.00 | 9.60 | 24.00 | 30.00 | 10.00 | 73.60 |
| 90 | 华信证券 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 5.00 | 0.00 | 5.00 | 0.60 | 1.00 | 0.60 | 1.00 | 0.80 | 0.80 | 0.80 | 0.80 | 9.60 | 32.00 | 14.40 | 8.00 | 64.00 |
| 91 | 宏信证券 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 2.00 | 0.00 | 2.00 | 0.60 | 1.00 | 0.60 | 1.00 | 0.80 | 0.80 | 0.80 | 0.80 | 9.60 | 32.00 | 14.40 | 8.00 | 64.00 |
| 92 | 中邮证券 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 7.00 | 0.00 | 7.00 | 0.60 | 1.00 | 0.60 | 1.00 | 0.80 | 0.80 | 0.80 | 0.80 | 9.60 | 32.00 | 14.40 | 8.00 | 64.00 |
| 93 | 银泰证券 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 4.00 | 0.00 | 0.60 | 0.60 | 1.00 | 0.60 | 0.80 | 0.80 | 0.90 | 0.80 | 9.60 | 19.20 | 27.00 | 4.80 | 60.60 |
| 94 | 中天国富 | 0.00 | 1.00 | 0.00 | 0.00 | 0.00 | 31.00 | 0.00 | 31.00 | 0.60 | 0.60 | 0.60 | 1.00 | 0.80 | 1.00 | 0.80 | 1.00 | 9.60 | 24.00 | 14.40 | 10.00 | 58.00 |
| 95 | 中天证券 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.50 | 0.00 | 0.60 | 0.60 | 1.00 | 0.60 | 0.80 | 0.80 | 0.80 | 0.80 | 9.60 | 19.20 | 24.00 | 4.80 | 57.60 |
| 96 | 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 | 0.80 | 0.80 | 0.80 | 0.80 | 9.60 | 19.20 | 14.40 | 4.80 | 48.00 |
| 97 | 华菁证券 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.60 | 0.60 | 0.60 | 0.60 | 0.80 | 0.80 | 0.80 | 0.80 | 9.60 | 19.20 | 14.40 | 4.80 | 48.00 |
| 98 | 东亚前海 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.60 | 0.60 | 0.60 | 0.60 | 0.80 | 0.80 | 0.80 | 0.80 | 9.60 | 19.20 | 14.40 | 4.80 | 48.00 |

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** | **2018年9月排序** | **2018年8月排序**\* |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **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** | **研究报告数量** | **净承接督导家数** | **合计**  **加点** | **监管措施扣点** |
| 1 | 申万宏源 | 100.00 | 2.00 | 3.00 | 0.50 | 1.50 | 2.00 | 1.00 | 2.00 | 12.00 | 0.00 | 112.00 | 1 | 3 |
| 2 | 中泰证券 | 100.00 | 2.00 | 3.00 | 1.00 |  |  | 1.00 |  | 7.00 | 0.00 | 107.00 | 2 | 29 |
| 3 | 山西证券 | 100.00 |  |  |  |  |  | 2.00 | 2.00 | 4.00 | 0.00 | 104.00 | 3 | 57 |
| 4 | 国泰君安 | 100.00 | 1.00 |  | 1.50 | 0.50 |  |  |  | 3.00 | 0.00 | 103.00 | 4 | 11 |
| 5 | 天风证券 | 96.00 |  | 3.00 | 1.00 |  |  |  | 2.00 | 6.00 | 0.00 | 102.00 | 5 | 62 |
| 6 | 江海证券 | 100.00 |  |  |  |  |  |  |  | 0.00 | 0.00 | 100.00 | 6 | 22 |
| 7 | 华福证券 | 100.00 |  |  |  |  |  |  |  | 0.00 | 0.00 | 100.00 | 6 | 78 |
| 8 | 广发证券 | 89.60 | 2.00 | 3.00 | 1.50 | 1.00 |  |  |  | 7.50 | 0.00 | 97.10 | 8 | 9 |
| 9 | 华金证券 | 95.00 |  |  |  | 1.50 |  | 0.50 |  | 2.00 | 0.00 | 97.00 | 9 | 60 |
| 10 | 安信证券 | 88.00 | 2.00 | 3.00 | 1.50 |  |  | 2.00 |  | 8.50 | 0.00 | 96.50 | 10 | 29 |
| 11 | 东北证券 | 89.60 | 1.00 | 3.00 |  |  |  | 1.00 |  | 5.00 | 0.00 | 94.60 | 11 | 20 |
| 12 | 开源证券 | 94.00 |  |  |  | 0.50 |  |  |  | 0.50 | 0.00 | 94.50 | 12 | 12 |
| 13 | 长江证券 | 88.00 | 1.00 | 3.00 |  |  |  | 0.50 | 2.00 | 6.50 | 0.00 | 94.50 | 12 | 13 |
| 14 | 国金证券 | 89.60 | 0.50 | 3.00 |  | 0.50 |  | 0.50 |  | 4.50 | 0.00 | 94.10 | 14 | 67 |
| 15 | 华西证券 | 97.00 |  |  |  |  |  |  | 2.00 | 2.00 | -5.00 | 94.00 | 15 | 93 |
| 16 | 国信证券 | 89.60 | 1.00 | 1.00 | 1.00 |  |  | 1.00 |  | 4.00 | 0.00 | 93.60 | 16 | 51 |
| 17 | 西南证券 | 89.60 | 0.50 | 3.00 |  |  |  |  |  | 3.50 | 0.00 | 93.10 | 17 | 15 |
| 18 | 方正证券 | 89.60 |  |  |  | 1.50 | 2.00 |  |  | 3.50 | 0.00 | 93.10 | 17 | 17 |
| 19 | 上海证券 | 89.60 |  |  | 1.50 | 1.00 |  | 0.50 |  | 3.00 | 0.00 | 92.60 | 19 | 16 |
| 20 | 东海证券 | 89.60 |  | 1.00 | 0.50 | 1.50 |  |  |  | 3.00 | 0.00 | 92.60 | 19 | 22 |
| 21 | 广州证券 | 89.60 |  |  | 0.50 |  |  | 2.00 |  | 2.50 | 0.00 | 92.10 | 21 | 17 |
| 22 | 华龙证券 | 89.60 |  |  |  |  | 2.00 | 0.50 |  | 2.50 | 0.00 | 92.10 | 21 | 83 |
| 23 | 中信建投 | 89.60 | 2.00 |  |  |  |  |  |  | 2.00 | 0.00 | 91.60 | 23 | 1 |
| 24 | 太平洋证券 | 89.60 |  |  |  |  | 2.00 |  |  | 2.00 | 0.00 | 91.60 | 23 | 24 |
| 25 | 海通证券 | 89.60 | 0.50 |  |  |  |  | 1.00 |  | 1.50 | 0.00 | 91.10 | 25 | 10 |
| 26 | 民生证券 | 89.60 |  | 1.00 |  |  |  |  |  | 1.00 | 0.00 | 90.60 | 26 | 24 |
| 27 | 中银国际 | 89.60 |  |  |  |  |  | 1.00 |  | 1.00 | 0.00 | 90.60 | 26 | 31 |
| 28 | 华融证券 | 89.60 |  | 1.00 |  |  |  |  |  | 1.00 | 0.00 | 90.60 | 26 | 37 |
| 29 | 渤海证券 | 89.60 |  | 1.00 |  |  |  |  |  | 1.00 | 0.00 | 90.60 | 26 | 76 |
| 30 | 西部证券 | 88.00 | 0.50 |  |  |  | 2.00 |  |  | 2.50 | 0.00 | 90.50 | 30 | 17 |
| 31 | 东莞证券 | 88.00 | 0.50 | 1.00 | 1.00 |  |  |  |  | 2.50 | 0.00 | 90.50 | 30 | 35 |
| 32 | 长城国瑞 | 89.00 |  |  |  | 1.50 |  |  |  | 1.50 | 0.00 | 90.50 | 30 | 71 |
| 33 | 湘财证券 | 89.60 |  |  |  | 0.50 |  |  |  | 0.50 | 0.00 | 90.10 | 33 | 2 |
| 34 | 东方证券 | 89.60 |  |  | 0.50 |  |  |  |  | 0.50 | 0.00 | 90.10 | 33 | 24 |
| 35 | 万联证券 | 89.60 |  |  | 0.50 |  |  |  |  | 0.50 | 0.00 | 90.10 | 33 | 24 |
| 36 | 中山证券 | 89.60 |  |  | 0.50 |  |  |  |  | 0.50 | 0.00 | 90.10 | 33 | 24 |
| 37 | 联储证券 | 89.60 |  |  |  | 0.50 |  |  |  | 0.50 | 0.00 | 90.10 | 33 | 37 |
| 38 | 平安证券 | 89.60 |  |  |  | 0.50 |  |  |  | 0.50 | 0.00 | 90.10 | 33 | 78 |
| 39 | 华安证券 | 89.60 |  |  |  |  |  |  |  | 0.00 | 0.00 | 89.60 | 39 | 3 |
| 40 | 南京证券 | 89.60 |  |  |  |  |  |  |  | 0.00 | 0.00 | 89.60 | 39 | 5 |
| 41 | 银河证券 | 89.60 |  |  |  |  |  |  |  | 0.00 | 0.00 | 89.60 | 39 | 5 |
| 42 | 长城证券 | 89.60 |  |  |  |  |  |  |  | 0.00 | 0.00 | 89.60 | 39 | 5 |
| 43 | 华泰证券 | 89.60 |  |  |  |  |  |  |  | 0.00 | 0.00 | 89.60 | 39 | 31 |
| 44 | 金元证券 | 89.60 |  |  |  |  |  |  |  | 0.00 | 0.00 | 89.60 | 39 | 31 |
| 45 | 第一创业 | 89.60 |  |  |  |  |  |  |  | 0.00 | 0.00 | 89.60 | 39 | 37 |
| 46 | 国盛证券 | 89.60 |  |  |  |  |  |  |  | 0.00 | 0.00 | 89.60 | 39 | 37 |
| 47 | 信达证券 | 89.60 |  |  |  |  |  |  |  | 0.00 | 0.00 | 89.60 | 39 | 37 |
| 48 | 华鑫证券 | 89.60 |  |  |  |  |  |  |  | 0.00 | 0.00 | 89.60 | 39 | 37 |
| 49 | 德邦证券 | 89.60 |  |  |  |  |  |  |  | 0.00 | 0.00 | 89.60 | 39 | 37 |
| 50 | 英大证券 | 89.60 |  |  |  |  |  |  |  | 0.00 | 0.00 | 89.60 | 39 | 37 |
| 51 | 中原证券 | 89.60 |  |  |  |  |  |  |  | 0.00 | 0.00 | 89.60 | 39 | 52 |
| 52 | 国元证券 | 89.60 |  |  |  |  |  |  |  | 0.00 | 0.00 | 89.60 | 39 | 57 |
| 53 | 五矿证券 | 89.60 |  |  |  |  |  |  |  | 0.00 | 0.00 | 89.60 | 39 | 73 |
| 54 | 国海证券 | 89.60 |  |  |  |  |  |  |  | 0.00 | 0.00 | 89.60 | 39 | 78 |
| 55 | 东方财富 | 89.60 |  |  |  |  |  |  |  | 0.00 | 0.00 | 89.60 | 39 | 78 |
| 56 | 首创证券 | 88.00 |  |  | 0.50 | 0.50 |  |  |  | 1.00 | 0.00 | 89.00 | 56 | 71 |
| 57 | 中航证券 | 86.60 |  |  |  |  |  |  | 2.00 | 2.00 | 0.00 | 88.60 | 57 | 52 |
| 58 | 国融证券 | 86.60 |  | 1.00 |  | 0.50 |  |  |  | 1.50 | 0.00 | 88.10 | 58 | 37 |
| 59 | 恒泰证券 | 88.00 |  |  |  |  |  |  |  | 0.00 | 0.00 | 88.00 | 59 | 37 |
| 60 | 东兴证券 | 88.00 |  |  |  |  |  |  |  | 0.00 | 0.00 | 88.00 | 59 | 76 |
| 61 | 大通证券 | 86.60 |  |  |  | 1.00 |  |  |  | 1.00 | 0.00 | 87.60 | 61 | 52 |
| 62 | 财通证券 | 85.60 | 0.50 | 1.00 | 0.50 |  |  |  |  | 2.00 | 0.00 | 87.60 | 61 | 82 |
| 63 | 华创证券 | 86.60 |  |  |  | 0.50 |  |  |  | 0.50 | 0.00 | 87.10 | 63 | 55 |
| 64 | 国都证券 | 89.60 |  |  |  |  |  |  | 2.00 | 2.00 | -5.00 | 86.60 | 64 | 37 |
| 65 | 新时代证券 | 86.60 |  |  |  |  |  |  |  | 0.00 | 0.00 | 86.60 | 64 | 64 |
| 66 | 九州证券 | 84.60 |  |  | 1.50 |  |  |  |  | 1.50 | 0.00 | 86.10 | 66 | 60 |
| 67 | 财富证券 | 85.60 |  |  |  |  |  |  |  | 0.00 | 0.00 | 85.60 | 67 | 37 |
| 68 | 东吴证券 | 82.00 | 0.50 | 3.00 |  |  |  |  |  | 3.50 | 0.00 | 85.50 | 68 | 35 |
| 69 | 世纪证券 | 84.60 |  |  |  |  |  |  |  | 0.00 | 0.00 | 84.60 | 69 | 63 |
| 70 | 中金公司 | 84.60 |  |  |  |  |  |  |  | 0.00 | 0.00 | 84.60 | 69 | 64 |
| 71 | 爱建证券 | 84.60 |  |  |  |  |  |  |  | 0.00 | 0.00 | 84.60 | 69 | 88 |
| 72 | 民族证券 | 83.60 |  | 1.00 |  |  |  |  |  | 1.00 | 0.00 | 84.60 | 69 | 89 |
| 73 | 财达证券 | 80.60 |  | 1.00 |  | 0.50 |  |  | 2.00 | 3.50 | 0.00 | 84.10 | 73 | 50 |
| 74 | 申港证券 | 81.60 |  |  |  |  |  |  | 2.00 | 2.00 | 0.00 | 83.60 | 74 | 75 |
| 75 | 招商证券 | 77.60 | 1.00 | 3.00 | 0.50 |  |  |  |  | 4.50 | 0.00 | 82.10 | 75 | 8 |
| 76 | 光大证券 | 77.60 | 0.50 |  |  |  |  | 2.00 | 2.00 | 4.50 | 0.00 | 82.10 | 75 | 59 |
| 77 | 大同证券 | 81.60 |  |  |  |  |  |  |  | 0.00 | 0.00 | 81.60 | 77 | 69 |
| 78 | 川财证券 | 81.60 |  |  |  |  |  |  |  | 0.00 | 0.00 | 81.60 | 77 | 90 |
| 79 | 浙商证券 | 77.60 |  |  |  |  |  |  | 2.00 | 2.00 | 0.00 | 79.60 | 79 | 37 |
| 80 | 万和证券 | 79.60 |  |  |  |  |  |  |  | 0.00 | 0.00 | 79.60 | 79 | 70 |
| 81 | 国开证券 | 79.60 |  |  |  |  |  |  |  | 0.00 | 0.00 | 79.60 | 79 | 73 |
| 82 | 联讯证券 | 77.60 |  |  | 0.50 |  |  | 1.00 |  | 1.50 | 0.00 | 79.10 | 82 | 68 |
| 83 | 华林证券 | 77.60 |  |  |  | 1.00 |  |  |  | 1.00 | 0.00 | 78.60 | 83 | 31 |
| 84 | 国联证券 | 77.60 |  | 1.00 |  |  |  |  |  | 1.00 | 0.00 | 78.60 | 83 | 56 |
| 85 | 兴业证券 | 77.60 | 0.50 |  |  |  |  |  |  | 0.50 | 0.00 | 78.10 | 85 | 13 |
| 86 | 中信证券 | 73.60 | 0.50 |  | 1.00 |  |  |  |  | 1.50 | 0.00 | 75.10 | 86 | 21 |
| 87 | 红塔证券 | 72.60 |  |  |  | 1.00 |  |  |  | 1.00 | 0.00 | 73.60 | 87 | 64 |
| 88 | 中投证券 | 73.60 |  |  |  |  |  |  |  | 0.00 | 0.00 | 73.60 | 87 | 84 |
| 89 | 网信证券 | 73.60 |  |  |  |  |  |  |  | 0.00 | 0.00 | 73.60 | 87 | 86 |
| 90 | 华信证券 | 64.00 |  |  |  |  |  |  |  | 0.00 | 0.00 | 64.00 | 90 | 86 |
| 91 | 宏信证券 | 64.00 |  |  |  |  |  |  |  | 0.00 | 0.00 | 64.00 | 90 | 91 |
| 92 | 中邮证券 | 64.00 |  |  |  |  |  |  |  | 0.00 | 0.00 | 64.00 | 90 | 91 |
| 93 | 银泰证券 | 60.60 |  |  |  |  |  |  |  | 0.00 | 0.00 | 60.60 | 93 | 94 |
| 94 | 中天国富 | 58.00 |  |  |  |  |  |  |  | 0.00 | 0.00 | 58.00 | 94 | 85 |
| 95 | 中天证券 | 57.60 |  |  |  |  |  |  |  | 0.00 | 0.00 | 57.60 | 95 | 95 |
| 96 | 华宝证券 | 48.00 |  |  |  |  |  |  |  | 0.00 | 0.00 | 48.00 | 96 | 95 |
| 97 | 华菁证券 | 48.00 |  |  |  |  |  |  |  | 0.00 | 0.00 | 48.00 | 96 | 95 |
| 98 | 东亚前海 | 48.00 |  |  |  |  |  |  |  | 0.00 | 0.00 | 48.00 | 96 | 95 |

\*2018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。

1. 综合点值计算基本过程:

   1、四类业务基准点值分别为20点、40点、30点、10点，按照下列第2步计算业务点值计算系数(b)，按照下列第3步计算难度系数(c)，用业务点值计算系数(b)、难度系数(c)乘以基准点值计算得到综合点值。

   2、无负面行为记录且业务量不为0时，业务点值计算系数(b)为1；业务量为0时，业务点值计算系数(b)为0.6；有负面行为记录时，取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、取W=业务量（当月推荐挂牌企业家数，持续督导企业家数当月平均值，提供做市服务企业数量当月平均值）

   W值排名区间小于80%（含）且W不为0，c=1；

   W值排名区间在80%-90%（含）之间且W不为0，c=0.90；

   W值排名区间在90%-100%之间或W为0，c=0.80。 [↑](#endnote-ref-1)