北证公告〔2022〕16号附件

2022年第一季度证券公司执业质量评价结果

| **序号** | **券商简称** | **基础分值** | **专业质量得分** | | | | | | | | | **合规质量扣分** | | | | | | | | | **合计分值** |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **北交所业务** | | **全国股转系统业务** | | | | **北交所、全国股转系统经纪及综合业务** | | **专业质量得分合计** | **北交所业务** | | **全国股转系统业务** | | | | **北交所、全国股转系统经纪及综合业务** | | **合规质量扣分合计** |
| **保荐业务** | **发行并购业务** | **推荐挂牌业务** | **发行并购业务** | **持续督导业务** | **做市**  **业务** | **经纪**  **业务** | **综合业务** | **保荐业务** | **发行并购业务** | **推荐挂牌业务** | **发行并购业务** | **持续督导业务** | **做市业务** | **经纪业务** | **综合业务** |
| 1 | 安信证券 | 100 | 3.00 | 1.88 | 20.00 | 3.63 | 6.69 | 10.05 | 3.15 | 5.00 | 53.40 | 2.50 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 2.50 | 150.90 |
| 2 | 东吴证券 | 100 | 12.00 | 5.43 | 13.33 | 3.81 | 7.14 | 3.01 | 1.90 | 0.36 | 46.98 | 2.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 2.00 | 144.98 |
| 3 | 申万宏源 | 100 | 9.00 | 3.76 | 6.67 | 3.36 | 9.56 | 7.58 | 4.84 | 2.86 | 47.62 | 2.00 | 0.00 | 0.00 | 0.00 | 4.00 | 0.00 | 0.00 | 0.00 | 6.00 | 141.62 |
| 4 | 中泰证券 | 100 | 0.00 | 0.00 | 15.56 | 0.30 | 7.00 | 9.80 | 3.48 | 3.34 | 39.48 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 139.48 |
| 5 | 东北证券 | 100 | 0.00 | 0.00 | 20.00 | 2.05 | 6.38 | 8.86 | 1.35 | 0.24 | 38.87 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 138.87 |
| 6 | 开源证券 | 100 | 0.00 | 0.00 | 17.78 | 3.92 | 9.87 | 9.63 | 0.31 | 0.00 | 41.51 | 2.00 | 0.00 | 0.00 | 4.00 | 5.60 | 0.00 | 0.00 | 0.00 | 11.60 | 129.91 |
| 7 | 兴业证券 | 100 | 0.00 | 0.00 | 11.11 | 1.71 | 6.25 | 2.57 | 1.88 | 6.58 | 30.10 | 0.00 | 0.00 | 0.00 | 0.00 | 4.00 | 0.00 | 0.00 | 0.00 | 4.00 | 126.10 |
| 8 | 浙商证券 | 100 | 0.00 | 0.00 | 8.89 | 3.38 | 5.80 | 3.55 | 1.54 | 2.85 | 26.01 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 126.01 |
| 9 | 国元证券 | 100 | 0.00 | 0.00 | 13.33 | 2.46 | 5.53 | 2.91 | 0.98 | 1.26 | 26.48 | 0.00 | 0.00 | 0.00 | 0.00 | 1.60 | 0.00 | 0.00 | 0.00 | 1.60 | 124.88 |
| 10 | 华创证券 | 100 | 0.00 | 0.00 | 15.56 | 0.59 | 5.30 | 0.94 | 0.31 | 0.03 | 22.72 | 0.00 | 0.00 | 0.00 | 0.00 | 0.80 | 0.00 | 0.00 | 0.00 | 0.80 | 121.92 |
| 11 | 天风证券 | 100 | 3.00 | 6.00 | 0.00 | 0.66 | 5.92 | 5.29 | 0.52 | 0.00 | 21.39 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 121.39 |
| 12 | 长江证券 | 100 | 0.00 | 0.00 | 6.67 | 3.13 | 6.84 | 4.89 | 2.65 | 0.39 | 24.57 | 0.00 | 0.00 | 0.00 | 0.00 | 3.20 | 0.00 | 0.00 | 0.00 | 3.20 | 121.37 |
| 13 | 西南证券 | 100 | 3.00 | 2.16 | 4.44 | 1.86 | 6.15 | 2.60 | 0.72 | 0.33 | 21.27 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 121.27 |
| 14 | 国联证券 | 100 | 0.00 | 0.00 | 8.89 | 0.90 | 5.73 | 1.65 | 0.78 | 2.50 | 20.44 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 120.44 |
| 15 | 国泰君安 | 100 | 0.00 | 0.00 | 0.00 | 1.02 | 5.55 | 4.67 | 4.62 | 3.48 | 19.34 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 119.34 |
| 16 | 平安证券 | 100 | 0.00 | 0.00 | 0.00 | 3.46 | 5.28 | 2.23 | 7.38 | 0.00 | 18.35 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 118.35 |
| 17 | 广发证券 | 100 | 0.00 | 0.00 | 0.00 | 0.00 | 5.10 | 6.37 | 6.39 | 0.49 | 18.35 | 0.00 | 0.00 | 0.00 | 0.00 | 1.60 | 0.00 | 0.00 | 0.00 | 1.60 | 116.75 |
| 18 | 华泰证券 | 100 | 0.00 | 0.00 | 0.00 | 0.00 | 5.17 | 2.53 | 8.46 | 0.00 | 16.16 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 116.16 |
| 19 | 山西证券 | 100 | 0.00 | 0.00 | 11.11 | 1.13 | 5.67 | 2.15 | 0.54 | 0.00 | 20.59 | 0.00 | 0.00 | 0.00 | 4.00 | 0.80 | 0.00 | 0.00 | 0.00 | 4.80 | 115.79 |
| 20 | 银河证券 | 100 | 0.00 | 0.00 | 0.00 | 1.06 | 5.07 | 3.71 | 5.63 | 0.00 | 15.48 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 115.48 |
| 21 | 东方财富 | 100 | 0.00 | 0.00 | 0.00 | 0.00 | 5.08 | 0.00 | 10.00 | 0.00 | 15.08 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 115.08 |
| 22 | 南京证券 | 100 | 0.00 | 0.00 | 6.67 | 0.57 | 5.35 | 2.33 | 0.60 | 0.71 | 16.23 | 0.00 | 0.00 | 0.00 | 0.00 | 1.60 | 0.00 | 0.00 | 0.00 | 1.60 | 114.63 |
| 23 | 华金证券 | 100 | 0.00 | 0.00 | 8.89 | 0.72 | 4.90 | 0.00 | 0.12 | 0.00 | 14.63 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 114.63 |
| 24 | 财通证券 | 100 | 0.00 | 0.00 | 0.00 | 2.30 | 6.17 | 4.32 | 1.44 | 0.00 | 14.22 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 114.22 |
| 25 | 国信证券 | 100 | 0.00 | 0.00 | 0.00 | 0.26 | 5.57 | 3.25 | 4.62 | 0.00 | 13.71 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 113.71 |
| 26 | 中信证券 | 100 | 0.00 | 0.00 | 0.00 | 0.00 | 4.92 | 3.00 | 6.47 | 0.92 | 15.31 | 0.00 | 0.00 | 0.00 | 0.00 | 1.60 | 0.00 | 0.00 | 0.00 | 1.60 | 113.71 |
| 27 | 九州证券 | 100 | 0.00 | 0.00 | 0.00 | 0.26 | 5.14 | 7.97 | 0.04 | 0.29 | 13.71 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 113.71 |
| 28 | 东莞证券 | 100 | 0.00 | 0.00 | 0.00 | 1.96 | 5.94 | 2.01 | 1.70 | 1.34 | 12.95 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 112.95 |
| 29 | 招商证券 | 100 | 0.00 | 0.00 | 0.00 | 0.00 | 5.16 | 0.36 | 7.69 | 0.34 | 13.57 | 0.00 | 0.00 | 0.00 | 0.00 | 0.80 | 0.00 | 0.00 | 0.00 | 0.80 | 112.77 |
| 30 | 民生证券 | 100 | 0.00 | 0.00 | 4.44 | 0.85 | 5.38 | 2.94 | 0.54 | 0.00 | 14.16 | 0.00 | 0.00 | 0.00 | 0.00 | 1.60 | 0.00 | 0.00 | 0.00 | 1.60 | 112.56 |
| 31 | 海通证券 | 100 | 0.00 | 0.00 | 0.00 | 0.42 | 5.62 | 4.93 | 5.13 | 0.40 | 16.50 | 0.00 | 0.00 | 0.00 | 0.00 | 4.00 | 0.00 | 0.00 | 0.00 | 4.00 | 112.50 |
| 32 | 国金证券 | 100 | 0.00 | 0.00 | 0.00 | 1.66 | 5.49 | 2.58 | 2.12 | 0.00 | 11.86 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 111.86 |
| 33 | 方正证券 | 100 | 0.00 | 0.00 | 0.00 | 0.93 | 5.73 | 2.22 | 2.90 | 0.00 | 11.78 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 111.78 |
| 34 | 上海证券 | 100 | 0.00 | 0.00 | 0.00 | 0.00 | 4.97 | 5.88 | 0.85 | 0.00 | 11.70 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 111.70 |
| 35 | 中信建投 | 100 | 0.00 | 0.00 | 0.00 | 2.10 | 5.77 | 2.83 | 4.14 | 0.52 | 15.36 | 4.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 4.00 | 111.36 |
| 36 | 渤海证券 | 100 | 3.00 | 3.84 | 0.00 | 0.00 | 5.16 | 2.45 | 0.42 | 0.00 | 14.86 | 4.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 4.00 | 110.86 |
| 37 | 光大证券 | 100 | 0.00 | 0.00 | 0.00 | 1.29 | 5.98 | 0.00 | 3.04 | 0.15 | 10.46 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 110.46 |
| 38 | 万和证券 | 100 | 0.00 | 0.00 | 0.00 | 1.00 | 5.03 | 4.03 | 0.19 | 0.00 | 10.25 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 110.25 |
| 39 | 联储证券 | 100 | 0.00 | 0.00 | 0.00 | 0.00 | 5.06 | 5.01 | 0.15 | 0.00 | 10.23 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 110.23 |
| 40 | 太平洋证券 | 100 | 0.00 | 0.00 | 0.00 | 1.67 | 5.57 | 2.44 | 0.28 | 0.00 | 9.95 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 109.95 |
| 41 | 首创证券 | 100 | 0.00 | 0.00 | 0.00 | 0.55 | 5.76 | 4.75 | 0.42 | 0.00 | 11.47 | 0.00 | 0.00 | 0.00 | 0.00 | 1.60 | 0.00 | 0.00 | 0.00 | 1.60 | 109.87 |
| 42 | 粤开证券 | 100 | 0.00 | 0.00 | 0.00 | 0.00 | 5.14 | 3.33 | 0.42 | 0.65 | 9.53 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 109.53 |
| 43 | 财达证券 | 100 | 0.00 | 0.00 | 0.00 | 0.00 | 5.45 | 3.29 | 0.75 | 0.00 | 9.49 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 109.49 |
| 44 | 东方证券 | 100 | 0.00 | 0.00 | 0.00 | 0.00 | 5.05 | 2.33 | 1.99 | 0.00 | 9.37 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 109.37 |
| 45 | 华福证券 | 100 | 0.00 | 0.00 | 0.00 | 1.00 | 5.25 | 2.20 | 1.37 | 0.81 | 10.62 | 0.00 | 0.00 | 0.00 | 0.00 | 1.60 | 0.00 | 0.00 | 0.00 | 1.60 | 109.02 |
| 46 | 金元证券 | 100 | 0.00 | 0.00 | 0.00 | 0.43 | 5.30 | 2.54 | 0.35 | 0.00 | 8.63 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 108.63 |
| 47 | 国盛证券 | 100 | 0.00 | 0.00 | 0.00 | 0.66 | 4.91 | 2.23 | 0.76 | 0.00 | 8.57 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 108.57 |
| 48 | 西部证券 | 100 | 0.00 | 0.00 | 0.00 | 1.01 | 6.02 | 2.56 | 0.50 | 0.00 | 10.09 | 0.00 | 0.00 | 0.00 | 0.00 | 1.60 | 0.00 | 0.00 | 0.00 | 1.60 | 108.49 |
| 49 | 长城证券 | 100 | 0.00 | 0.00 | 0.00 | 0.00 | 5.19 | 1.58 | 1.32 | 0.40 | 8.49 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 108.49 |
| 50 | 财信证券 | 100 | 0.00 | 0.00 | 0.00 | 0.00 | 5.11 | 3.52 | 0.85 | 0.07 | 9.55 | 0.00 | 0.00 | 0.00 | 0.00 | 1.60 | 0.00 | 0.00 | 0.00 | 1.60 | 107.95 |
| 51 | 大通证券 | 100 | 0.00 | 0.00 | 0.00 | 0.00 | 4.94 | 2.63 | 0.20 | 0.00 | 7.78 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 107.78 |
| 52 | 德邦证券 | 100 | 0.00 | 0.00 | 0.00 | 0.00 | 4.99 | 1.51 | 0.14 | 1.07 | 7.71 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 107.71 |
| 53 | 中原证券 | 100 | 0.00 | 0.00 | 0.00 | 0.00 | 5.30 | 1.36 | 0.84 | 0.00 | 7.49 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 107.49 |
| 54 | 第一创业 | 100 | 0.00 | 0.00 | 0.00 | 0.00 | 5.17 | 1.75 | 0.50 | 0.05 | 7.47 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 107.47 |
| 55 | 国海证券 | 100 | 0.00 | 0.00 | 0.00 | 0.59 | 5.32 | 2.50 | 0.63 | 0.00 | 9.04 | 0.00 | 0.00 | 0.00 | 0.00 | 1.60 | 0.00 | 0.00 | 0.00 | 1.60 | 107.44 |
| 56 | 中金财富 | 100 | 0.00 | 0.00 | 0.00 | 0.00 | 5.01 | 0.00 | 2.41 | 0.00 | 7.43 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 107.43 |
| 57 | 中天国富 | 100 | 0.00 | 0.00 | 0.00 | 2.00 | 5.17 | 0.00 | 0.02 | 0.00 | 7.19 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 107.19 |
| 58 | 红塔证券 | 100 | 0.00 | 0.00 | 0.00 | 0.00 | 5.06 | 3.14 | 0.13 | 0.39 | 8.72 | 0.00 | 0.00 | 0.00 | 0.00 | 1.60 | 0.00 | 0.00 | 0.00 | 1.60 | 107.12 |
| 59 | 信达证券 | 100 | 0.00 | 0.00 | 0.00 | 1.00 | 5.08 | 0.00 | 0.87 | 0.00 | 6.95 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 106.95 |
| 60 | 华林证券 | 100 | 0.00 | 0.00 | 0.00 | 0.00 | 4.52 | 1.62 | 0.48 | 0.00 | 6.62 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 106.62 |
| 61 | 中航证券 | 100 | 0.00 | 0.00 | 0.00 | 0.00 | 4.95 | 1.13 | 0.42 | 0.00 | 6.50 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 106.50 |
| 62 | 东海证券 | 100 | 0.00 | 0.00 | 0.00 | 0.00 | 5.22 | 2.48 | 0.59 | 0.16 | 8.45 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 2.00 | 0.00 | 0.00 | 2.00 | 106.45 |
| 63 | 中信华南 | 100 | 0.00 | 0.00 | 0.00 | 0.00 | 5.02 | 0.00 | 0.40 | 0.96 | 6.39 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 106.39 |
| 64 | 爱建证券 | 100 | 0.00 | 0.00 | 0.00 | 0.00 | 4.58 | 1.43 | 0.15 | 0.22 | 6.38 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 106.38 |
| 65 | 英大证券 | 100 | 0.00 | 0.00 | 0.00 | 0.00 | 5.07 | 0.99 | 0.23 | 0.00 | 6.29 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 106.29 |
| 66 | 川财证券 | 100 | 0.00 | 0.00 | 0.00 | 1.00 | 5.08 | 0.00 | 0.12 | 0.00 | 6.20 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 106.20 |
| 67 | 华西证券 | 100 | 0.00 | 0.00 | 0.00 | 1.43 | 5.35 | 1.10 | 1.51 | 0.00 | 9.40 | 0.00 | 0.00 | 0.00 | 0.00 | 3.20 | 0.00 | 0.00 | 0.00 | 3.20 | 106.20 |
| 68 | 中银证券 | 100 | 0.00 | 0.00 | 0.00 | 0.00 | 5.21 | 0.00 | 0.80 | 0.07 | 6.07 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 106.07 |
| 69 | 国融证券 | 100 | 0.00 | 0.00 | 0.00 | 2.87 | 7.08 | 0.00 | 0.11 | 0.00 | 10.06 | 0.00 | 0.00 | 0.00 | 0.00 | 4.00 | 0.00 | 0.00 | 0.00 | 4.00 | 106.06 |
| 70 | 湘财证券 | 100 | 0.00 | 0.00 | 0.00 | 0.00 | 5.29 | 1.52 | 0.70 | 0.00 | 7.50 | 0.00 | 0.00 | 0.00 | 0.00 | 1.60 | 0.00 | 0.00 | 0.00 | 1.60 | 105.90 |
| 71 | 华鑫证券 | 100 | 0.00 | 0.00 | 0.00 | 0.00 | 4.78 | 0.61 | 0.50 | 0.00 | 5.89 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 105.89 |
| 72 | 银泰证券 | 100 | 0.00 | 0.00 | 0.00 | 0.00 | 5.01 | 0.00 | 0.10 | 0.74 | 5.85 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 105.85 |
| 73 | 世纪证券 | 100 | 0.00 | 0.00 | 0.00 | 0.52 | 5.07 | 0.00 | 0.25 | 0.00 | 5.84 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 105.84 |
| 74 | 万联证券 | 100 | 0.00 | 0.00 | 0.00 | 0.00 | 5.29 | 0.00 | 0.51 | 0.00 | 5.80 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 105.80 |
| 75 | 新时代证券 | 100 | 0.00 | 0.00 | 0.00 | 0.00 | 5.33 | 0.00 | 0.30 | 0.00 | 5.62 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 105.62 |
| 76 | 华融证券 | 100 | 0.00 | 0.00 | 0.00 | 0.00 | 5.22 | 0.00 | 0.31 | 0.00 | 5.53 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 105.53 |
| 77 | 申港证券 | 100 | 0.00 | 0.00 | 0.00 | 0.26 | 5.09 | 0.00 | 0.08 | 0.00 | 5.43 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 105.43 |
| 78 | 东亚前海 | 100 | 0.00 | 0.00 | 0.00 | 0.91 | 4.48 | 0.00 | 0.00 | 0.00 | 5.39 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 105.39 |
| 79 | 华安证券 | 100 | 0.00 | 0.00 | 0.00 | 0.39 | 5.39 | 2.00 | 0.88 | 0.71 | 9.37 | 0.00 | 0.00 | 0.00 | 0.00 | 4.00 | 0.00 | 0.00 | 0.00 | 4.00 | 105.37 |
| 80 | 甬兴证券 | 100 | 0.00 | 0.00 | 0.00 | 0.00 | 5.02 | 0.00 | 0.29 | 0.00 | 5.31 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 105.31 |
| 81 | 五矿证券 | 100 | 0.00 | 0.00 | 0.00 | 0.00 | 5.21 | 0.00 | 0.09 | 0.00 | 5.30 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 105.30 |
| 82 | 宏信证券 | 100 | 0.00 | 0.00 | 0.00 | 0.00 | 5.01 | 0.00 | 0.19 | 0.00 | 5.20 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 105.20 |
| 83 | 长城国瑞 | 100 | 0.00 | 0.00 | 0.00 | 0.00 | 5.06 | 0.00 | 0.12 | 0.00 | 5.17 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 105.17 |
| 84 | 中邮证券 | 100 | 0.00 | 0.00 | 0.00 | 0.00 | 5.04 | 0.00 | 0.10 | 0.00 | 5.14 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 105.14 |
| 85 | 东兴证券 | 100 | 0.00 | 0.00 | 0.00 | 0.70 | 5.56 | 0.00 | 1.03 | 0.24 | 7.53 | 0.00 | 0.00 | 0.00 | 0.00 | 2.40 | 0.00 | 0.00 | 0.00 | 2.40 | 105.13 |
| 86 | 网信证券 | 100 | 0.00 | 0.00 | 0.00 | 0.00 | 5.04 | 0.00 | 0.03 | 0.00 | 5.06 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 105.06 |
| 87 | 国开证券 | 100 | 0.00 | 0.00 | 0.00 | 0.00 | 5.04 | 0.00 | 0.00 | 0.00 | 5.04 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 105.04 |
| 88 | 星展证券 | 100 | 0.00 | 0.00 | 0.00 | 0.00 | 5.01 | 0.00 | 0.00 | 0.00 | 5.01 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 105.01 |
| 89 | 国都证券 | 100 | 0.00 | 0.00 | 0.00 | 0.00 | 5.04 | 1.88 | 0.30 | 0.00 | 7.22 | 0.00 | 0.00 | 0.00 | 0.00 | 2.40 | 0.00 | 0.00 | 0.00 | 2.40 | 104.82 |
| 90 | 大同证券 | 100 | 0.00 | 0.00 | 0.00 | 0.00 | 5.26 | 0.00 | 0.25 | 0.00 | 5.51 | 0.00 | 0.00 | 0.00 | 0.00 | 0.80 | 0.00 | 0.00 | 0.00 | 0.80 | 104.71 |
| 91 | 江海证券 | 100 | 0.00 | 0.00 | 0.00 | 0.30 | 5.36 | 2.60 | 0.40 | 0.00 | 8.66 | 0.00 | 0.00 | 0.00 | 0.00 | 4.00 | 0.00 | 0.00 | 0.00 | 4.00 | 104.66 |
| 92 | 金圆统一 | 100 | 0.00 | 0.00 | 0.00 | 0.00 | 5.02 | 0.00 | 0.00 | 0.00 | 5.02 | 0.00 | 0.00 | 0.00 | 0.00 | 1.60 | 0.00 | 0.00 | 0.00 | 1.60 | 103.42 |
| 93 | 中山证券 | 100 | 0.00 | 0.00 | 0.00 | 0.00 | 4.51 | 5.31 | 0.27 | 0.00 | 10.09 | 0.00 | 0.00 | 5.00 | 2.00 | 0.00 | 0.00 | 0.00 | 0.00 | 7.00 | 103.09 |
| 94 | 华兴证券 | 100 | 0.00 | 0.00 | 0.00 | 0.00 | 2.50 | 0.00 | 0.00 | 0.00 | 2.50 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 102.50 |
| 95 | 恒泰证券 | 100 | 0.00 | 0.00 | 0.00 | 1.10 | 5.93 | 1.70 | 0.78 | 0.00 | 9.51 | 0.00 | 0.00 | 0.00 | 2.00 | 1.60 | 4.00 | 0.00 | 0.00 | 7.60 | 101.91 |
| 96 | 中天证券 | 100 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.93 | 0.14 | 0.00 | 1.07 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 101.07 |
| 97 | 中金公司 | 100 | 0.00 | 0.00 | 0.00 | 0.00 | 4.63 | 1.52 | 0.09 | 0.00 | 6.23 | 0.00 | 0.00 | 0.00 | 0.00 | 5.60 | 0.00 | 0.00 | 0.00 | 5.60 | 100.63 |
| 98 | 华宝证券 | 100 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.39 | 0.00 | 0.39 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 100.39 |
| 99 | 瑞银证券 | 100 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.01 | 0.00 | 0.01 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 100.01 |
| 100 | 大和证券 | 100 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 100.00 |
| 101 | 华龙证券 | 100 | 0.00 | 0.00 | 0.00 | 1.24 | 5.32 | 1.12 | 0.28 | 0.00 | 7.97 | 8.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 8.00 | 99.97 |

注：112家证券公司中，11家证券公司子公司纳入其母公司合并评价。其中，中信证券（山东）与母公司中信证券、东方证券承销保荐与母公司东方证券、方正证券承销保荐与母公司方正证券、华英证券与母公司国联证券、申万宏源承销保荐和申万宏源西部证券与母公司申万宏源证券、华泰联合证券与母公司华泰证券、第一创业承销保荐与第一创业证券、恒泰长财证券与恒泰证券、长江证券承销保荐与母公司长江证券、中德证券与母公司山西证券合并评价。