北证公告〔2022〕21号附件

2022年第二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 | 开源证券 | 100 | 6.00  | 2.83  | 12.00  | 8.00  | 9.61  | 11.06  | 0.57  | 1.29  | 51.36  | 0.00  | 0.00  | 0.00  | 0.00  | 1.71  | 0.00  | 0.00  | 0.00  | 1.71  | 149.65  |
| 2 | 中泰证券 | 100 | 9.00  | 2.45  | 9.33  | 1.19  | 6.53  | 9.83  | 3.01  | 3.69  | 45.03  | 0.00  | 0.00  | 0.00  | 0.00  | 0.57  | 0.00  | 0.00  | 0.00  | 0.57  | 144.46  |
| 3 | 安信证券 | 100 | 7.50  | 6.00  | 4.00  | 1.90  | 6.41  | 10.06  | 4.21  | 5.00  | 45.09  | 0.00  | 0.00  | 0.00  | 0.00  | 7.29  | 0.00  | 0.00  | 0.00  | 7.29  | 137.80  |
| 4 | 中信建投 | 100 | 4.50  | 1.08  | 12.00  | 1.52  | 5.62  | 3.10  | 4.23  | 0.22  | 32.28  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 132.28  |
| 5 | 申万宏源 | 100 | 1.50  | 1.18  | 0.00  | 3.47  | 9.13  | 6.61  | 4.54  | 3.60  | 30.02  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 130.02  |
| 6 | 民生证券 | 100 | 1.50  | 3.46  | 20.00  | 0.82  | 5.01  | 2.90  | 0.51  | 0.00  | 34.20  | 2.00  | 0.00  | 2.00  | 0.00  | 0.57  | 0.00  | 0.00  | 0.00  | 4.57  | 129.63  |
| 7 | 东吴证券 | 100 | 0.00  | 0.00  | 14.67  | 4.76  | 6.81  | 3.04  | 2.09  | 0.46  | 31.83  | 0.00  | 0.00  | 4.00  | 0.00  | 0.57  | 0.00  | 0.00  | 0.00  | 4.57  | 127.26  |
| 8 | 国泰君安 | 100 | 0.00  | 0.00  | 8.00  | 0.94  | 5.29  | 4.00  | 4.67  | 1.27  | 24.18  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 124.18  |
| 9 | 浙商证券 | 100 | 0.00  | 0.00  | 12.00  | 1.25  | 5.55  | 3.54  | 1.38  | 1.06  | 24.78  | 0.00  | 0.00  | 2.00  | 0.00  | 1.71  | 0.00  | 0.00  | 0.00  | 3.71  | 121.07  |
| 10 | 国金证券 | 100 | 0.00  | 0.00  | 12.00  | 1.15  | 4.88  | 2.52  | 2.08  | 0.80  | 23.43  | 0.00  | 0.00  | 0.00  | 0.00  | 3.43  | 0.00  | 0.00  | 0.00  | 3.43  | 120.00  |
| 11 | 山西证券 | 100 | 4.50  | 1.41  | 8.00  | 1.13  | 5.39  | 2.61  | 0.56  | 0.09  | 23.69  | 0.00  | 0.00  | 0.00  | 4.00  | 0.57  | 0.00  | 0.00  | 0.00  | 4.57  | 119.12  |
| 12 | 中信证券 | 100 | 0.00  | 0.00  | 8.00  | 0.80  | 4.98  | 3.11  | 6.86  | 0.98  | 24.73  | 0.00  | 0.00  | 2.00  | 0.00  | 0.00  | 4.00  | 0.00  | 0.00  | 6.00  | 118.73  |
| 13 | 长江证券 | 100 | 0.00  | 0.00  | 4.00  | 0.38  | 6.63  | 4.86  | 2.56  | 0.12  | 18.55  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 118.55  |
| 14 | 兴业证券 | 100 | 1.50  | 1.63  | 2.67  | 2.16  | 5.87  | 2.58  | 1.92  | 4.04  | 22.35  | 0.00  | 0.00  | 0.00  | 0.00  | 4.00  | 0.00  | 0.00  | 0.00  | 4.00  | 118.35  |
| 15 | 光大证券 | 100 | 0.00  | 0.00  | 12.00  | 1.82  | 5.63  | 0.00  | 2.46  | 0.06  | 21.97  | 0.00  | 0.00  | 0.00  | 0.00  | 4.00  | 0.00  | 0.00  | 0.00  | 4.00  | 117.97  |
| 16 | 国信证券 | 100 | 0.00  | 0.00  | 4.00  | 0.00  | 5.24  | 3.47  | 4.95  | 0.00  | 17.66  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 117.66  |
| 17 | 国元证券 | 100 | 0.00  | 0.00  | 8.00  | 0.56  | 5.53  | 2.97  | 1.05  | 0.78  | 18.90  | 0.00  | 0.00  | 0.00  | 0.00  | 1.71  | 0.00  | 0.00  | 0.00  | 1.71  | 117.18  |
| 18 | 广发证券 | 100 | 0.00  | 0.00  | 0.00  | 0.00  | 4.91  | 6.28  | 5.85  | 0.08  | 17.11  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 117.11  |
| 19 | 海通证券 | 100 | 0.00  | 0.00  | 0.00  | 0.64  | 5.24  | 4.70  | 5.34  | 0.16  | 16.08  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 116.08  |
| 20 | 平安证券 | 100 | 0.00  | 0.00  | 0.00  | 0.00  | 5.26  | 2.54  | 5.15  | 2.50  | 15.45  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 115.45  |
| 21 | 华泰证券 | 100 | 0.00  | 0.00  | 0.00  | 0.00  | 5.16  | 3.07  | 7.02  | 0.00  | 15.25  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 115.25  |
| 22 | 西南证券 | 100 | 0.00  | 0.00  | 4.00  | 1.77  | 5.80  | 2.76  | 0.70  | 0.11  | 15.15  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 115.15  |
| 23 | 天风证券 | 100 | 0.00  | 0.00  | 4.00  | 1.08  | 5.68  | 5.47  | 0.50  | 0.00  | 16.73  | 0.00  | 0.00  | 0.00  | 0.00  | 1.71  | 0.00  | 0.00  | 0.00  | 1.71  | 115.01  |
| 24 | 财信证券 | 100 | 0.00  | 0.00  | 5.33  | 0.88  | 5.07  | 4.33  | 0.65  | 0.01  | 16.26  | 0.00  | 0.00  | 0.00  | 0.00  | 1.71  | 0.00  | 0.00  | 0.00  | 1.71  | 114.55  |
| 25 | 财通证券 | 100 | 0.00  | 0.00  | 4.00  | 0.55  | 5.88  | 4.47  | 1.13  | 0.00  | 16.02  | 2.00  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 2.00  | 114.02  |
| 26 | 东方证券 | 100 | 0.00  | 0.00  | 4.00  | 0.50  | 4.85  | 2.36  | 1.89  | 0.00  | 13.60  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 113.60  |
| 27 | 华安证券 | 100 | 0.00  | 0.00  | 5.33  | 0.00  | 5.04  | 2.11  | 0.77  | 0.28  | 13.52  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 113.52  |
| 28 | 银河证券 | 100 | 0.00  | 0.00  | 0.00  | 0.00  | 4.87  | 3.12  | 8.17  | 0.00  | 16.15  | 0.00  | 0.00  | 0.00  | 0.00  | 2.86  | 0.00  | 0.00  | 0.00  | 2.86  | 113.30  |
| 29 | 国融证券 | 100 | 0.00  | 0.00  | 8.00  | 2.35  | 6.65  | 0.00  | 0.11  | 0.00  | 17.11  | 0.00  | 0.00  | 0.00  | 4.00  | 0.00  | 0.00  | 0.00  | 0.00  | 4.00  | 113.11  |
| 30 | 招商证券 | 100 | 0.00  | 0.00  | 4.00  | 0.27  | 4.80  | 0.35  | 5.80  | 0.04  | 15.26  | 0.00  | 0.00  | 0.00  | 0.00  | 2.29  | 0.00  | 0.00  | 0.00  | 2.29  | 112.97  |
| 31 | 东莞证券 | 100 | 1.50  | 0.81  | 4.00  | 0.17  | 5.66  | 2.25  | 1.56  | 0.65  | 16.60  | 2.00  | 0.00  | 0.00  | 0.00  | 1.71  | 0.00  | 0.00  | 0.00  | 3.71  | 112.88  |
| 32 | 九州证券 | 100 | 0.00  | 0.00  | 0.00  | 0.00  | 5.13  | 7.48  | 0.07  | 0.14  | 12.82  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 112.82  |
| 33 | 东方财富 | 100 | 0.00  | 0.00  | 0.00  | 0.00  | 3.58  | 0.00  | 9.09  | 0.00  | 12.67  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 112.67  |
| 34 | 湘财证券 | 100 | 0.00  | 0.00  | 4.00  | 0.63  | 5.05  | 1.75  | 0.60  | 0.00  | 12.04  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 112.04  |
| 35 | 第一创业 | 100 | 0.00  | 0.00  | 4.00  | 0.43  | 4.67  | 2.20  | 0.57  | 0.02  | 11.89  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 111.89  |
| 36 | 长城证券 | 100 | 0.00  | 0.00  | 4.00  | 0.00  | 5.08  | 1.30  | 1.32  | 0.18  | 11.87  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 111.87  |
| 37 | 东北证券 | 100 | 0.00  | 0.00  | 4.00  | 0.84  | 6.10  | 7.23  | 1.18  | 0.09  | 19.44  | 4.00  | 0.00  | 2.00  | 0.00  | 1.71  | 0.00  | 0.00  | 0.00  | 7.71  | 111.73  |
| 38 | 方正证券 | 100 | 0.00  | 0.00  | 0.00  | 0.70  | 5.72  | 2.42  | 2.54  | 0.00  | 11.38  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 111.38  |
| 39 | 上海证券 | 100 | 0.00  | 0.00  | 0.00  | 0.00  | 4.33  | 6.04  | 0.77  | 0.18  | 11.31  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 111.31  |
| 40 | 万和证券 | 100 | 0.00  | 0.00  | 0.00  | 0.00  | 5.03  | 5.79  | 0.29  | 0.00  | 11.11  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 111.11  |
| 41 | 国联证券 | 100 | 0.00  | 0.00  | 2.67  | 0.19  | 5.45  | 1.77  | 0.81  | 0.38  | 11.27  | 0.00  | 0.00  | 0.00  | 0.00  | 0.57  | 0.00  | 0.00  | 0.00  | 0.57  | 110.70  |
| 42 | 申港证券 | 100 | 0.00  | 0.00  | 5.33  | 0.31  | 4.81  | 0.00  | 0.04  | 0.00  | 10.49  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 110.49  |
| 43 | 首创证券 | 100 | 0.00  | 0.00  | 0.00  | 0.48  | 5.52  | 4.90  | 0.47  | 0.00  | 11.37  | 0.00  | 0.00  | 0.00  | 0.00  | 1.14  | 0.00  | 0.00  | 0.00  | 1.14  | 110.23  |
| 44 | 联储证券 | 100 | 0.00  | 0.00  | 0.00  | 0.00  | 4.51  | 5.51  | 0.19  | 0.00  | 10.22  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 110.22  |
| 45 | 东海证券 | 100 | 0.00  | 0.00  | 4.00  | 0.26  | 5.15  | 2.12  | 0.58  | 0.08  | 12.19  | 0.00  | 0.00  | 2.00  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 2.00  | 110.19  |
| 46 | 太平洋证券 | 100 | 0.00  | 0.00  | 0.00  | 0.41  | 5.22  | 4.31  | 0.24  | 0.00  | 10.17  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 110.17  |
| 47 | 华林证券 | 100 | 0.00  | 0.00  | 4.00  | 0.00  | 4.96  | 1.82  | 0.46  | 0.00  | 11.24  | 0.00  | 0.00  | 0.00  | 0.00  | 1.14  | 0.00  | 0.00  | 0.00  | 1.14  | 110.10  |
| 48 | 中原证券 | 100 | 0.00  | 0.00  | 6.67  | 0.00  | 4.92  | 1.52  | 0.67  | 0.00  | 13.77  | 0.00  | 0.00  | 0.00  | 4.00  | 0.00  | 0.00  | 0.00  | 0.00  | 4.00  | 109.77  |
| 49 | 甬兴证券 | 100 | 0.00  | 0.00  | 4.00  | 0.35  | 5.02  | 0.00  | 0.34  | 0.00  | 9.71  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 109.71  |
| 50 | 五矿证券 | 100 | 0.00  | 0.00  | 4.00  | 1.35  | 4.83  | 0.00  | 0.10  | 0.00  | 10.28  | 0.00  | 0.00  | 0.00  | 0.00  | 0.57  | 0.00  | 0.00  | 0.00  | 0.57  | 109.71  |
| 51 | 粤开证券 | 100 | 0.00  | 0.00  | 0.00  | 0.69  | 4.85  | 3.08  | 0.44  | 0.23  | 9.27  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 109.27  |
| 52 | 中金公司 | 100 | 0.00  | 0.00  | 0.00  | 2.99  | 4.18  | 1.68  | 0.14  | 0.10  | 9.08  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 109.08  |
| 53 | 恒泰证券 | 100 | 0.00  | 0.00  | 0.00  | 0.63  | 5.73  | 1.85  | 0.75  | 0.00  | 8.96  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 108.96  |
| 54 | 西部证券 | 100 | 0.00  | 0.00  | 0.00  | 1.22  | 5.86  | 3.35  | 0.40  | 0.06  | 10.89  | 2.00  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 2.00  | 108.89  |
| 55 | 江海证券 | 100 | 0.00  | 0.00  | 0.00  | 0.50  | 4.97  | 2.89  | 0.26  | 0.00  | 8.63  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 108.63  |
| 56 | 南京证券 | 100 | 0.00  | 0.00  | 0.00  | 0.29  | 4.73  | 2.71  | 0.46  | 0.28  | 8.47  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 108.47  |
| 57 | 渤海证券 | 100 | 0.00  | 0.00  | 0.00  | 0.50  | 4.89  | 2.56  | 0.50  | 0.00  | 8.45  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 108.45  |
| 58 | 长城国瑞 | 100 | 0.00  | 0.00  | 4.00  | 0.19  | 3.98  | 0.00  | 0.25  | 0.00  | 8.42  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 108.42  |
| 59 | 红塔证券 | 100 | 0.00  | 0.00  | 0.00  | 0.42  | 4.12  | 3.41  | 0.19  | 0.21  | 8.35  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 108.35  |
| 60 | 中山证券 | 100 | 0.00  | 0.00  | 0.00  | 0.00  | 4.09  | 5.45  | 0.22  | 0.00  | 9.77  | 0.00  | 0.00  | 0.00  | 0.00  | 1.71  | 0.00  | 0.00  | 0.00  | 1.71  | 108.05  |
| 61 | 德邦证券 | 100 | 0.00  | 0.00  | 0.00  | 0.19  | 5.13  | 1.90  | 0.11  | 0.58  | 7.91  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 107.91  |
| 62 | 华融证券 | 100 | 0.00  | 0.00  | 4.00  | 0.00  | 4.68  | 0.00  | 0.28  | 0.00  | 8.96  | 0.00  | 0.00  | 0.00  | 0.00  | 1.14  | 0.00  | 0.00  | 0.00  | 1.14  | 107.82  |
| 63 | 中金财富 | 100 | 0.00  | 0.00  | 0.00  | 0.00  | 5.01  | 0.00  | 2.75  | 0.00  | 7.75  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 107.75  |
| 64 | 川财证券 | 100 | 1.50  | 1.06  | 0.00  | 0.00  | 5.07  | 0.00  | 0.09  | 0.00  | 7.72  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 107.72  |
| 65 | 中航证券 | 100 | 0.00  | 0.00  | 0.00  | 0.84  | 4.96  | 1.10  | 0.34  | 0.00  | 7.23  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 107.23  |
| 66 | 金元证券 | 100 | 0.00  | 0.00  | 0.00  | 0.00  | 5.00  | 3.30  | 0.41  | 0.00  | 8.71  | 0.00  | 0.00  | 0.00  | 0.00  | 1.71  | 0.00  | 0.00  | 0.00  | 1.71  | 107.00  |
| 67 | 华西证券 | 100 | 0.00  | 0.00  | 0.00  | 0.27  | 5.17  | 1.18  | 1.26  | 0.00  | 7.88  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 1.00  | 0.00  | 0.00  | 1.00  | 106.88  |
| 68 | 中天国富 | 100 | 0.00  | 0.00  | 0.00  | 1.91  | 4.90  | 0.00  | 0.01  | 0.00  | 6.83  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 106.83  |
| 69 | 国都证券 | 100 | 0.00  | 0.00  | 0.00  | 0.00  | 4.52  | 1.93  | 0.34  | 0.00  | 6.80  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 106.80  |
| 70 | 国海证券 | 100 | 0.00  | 0.00  | 0.00  | 0.50  | 5.01  | 2.63  | 0.56  | 0.00  | 8.70  | 0.00  | 0.00  | 2.00  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 2.00  | 106.70  |
| 71 | 大和证券 | 100 | 0.00  | 0.00  | 4.00  | 0.00  | 2.50  | 0.00  | 0.00  | 0.00  | 6.50  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 106.50  |
| 72 | 国盛证券 | 100 | 0.00  | 0.00  | 0.00  | 0.19  | 4.96  | 2.39  | 0.59  | 0.00  | 8.14  | 0.00  | 0.00  | 0.00  | 0.00  | 1.71  | 0.00  | 0.00  | 0.00  | 1.71  | 106.42  |
| 73 | 中银证券 | 100 | 0.00  | 0.00  | 0.00  | 0.00  | 4.87  | 0.00  | 0.93  | 0.00  | 5.79  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 105.79  |
| 74 | 华创证券 | 100 | 0.00  | 0.00  | 0.00  | 0.92  | 5.00  | 1.61  | 0.39  | 0.01  | 7.92  | 0.00  | 0.00  | 0.00  | 0.00  | 2.29  | 0.00  | 0.00  | 0.00  | 2.29  | 105.64  |
| 75 | 英大证券 | 100 | 0.00  | 0.00  | 0.00  | 0.00  | 4.44  | 0.99  | 0.14  | 0.00  | 5.57  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 105.57  |
| 76 | 万联证券 | 100 | 0.00  | 0.00  | 0.00  | 0.00  | 5.08  | 0.00  | 0.46  | 0.00  | 5.54  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 105.54  |
| 77 | 银泰证券 | 100 | 0.00  | 0.00  | 0.00  | 0.00  | 5.01  | 0.00  | 0.10  | 0.33  | 5.44  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 105.44  |
| 78 | 信达证券 | 100 | 0.00  | 0.00  | 0.00  | 0.00  | 4.58  | 0.00  | 0.84  | 0.00  | 5.41  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 105.41  |
| 79 | 中信华南 | 100 | 0.00  | 0.00  | 0.00  | 0.00  | 5.02  | 0.00  | 0.36  | 0.00  | 5.37  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 105.37  |
| 80 | 华龙证券 | 100 | 0.00  | 0.00  | 0.00  | 0.00  | 4.96  | 1.11  | 0.29  | 0.00  | 6.36  | 0.00  | 0.00  | 0.00  | 0.00  | 1.14  | 0.00  | 0.00  | 0.00  | 1.14  | 105.22  |
| 81 | 华鑫证券 | 100 | 0.00  | 0.00  | 0.00  | 0.00  | 3.91  | 0.75  | 0.49  | 0.00  | 5.15  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 105.15  |
| 82 | 国开证券 | 100 | 0.00  | 0.00  | 0.00  | 0.00  | 5.03  | 0.00  | 0.00  | 0.00  | 5.03  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 105.03  |
| 83 | 华兴证券 | 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  |
| 84 | 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  |
| 85 | 世纪证券 | 100 | 0.00  | 0.00  | 0.00  | 0.00  | 4.75  | 0.00  | 0.19  | 0.00  | 4.93  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 104.93  |
| 86 | 大同证券 | 100 | 0.00  | 0.00  | 0.00  | 0.00  | 4.52  | 0.00  | 0.20  | 0.00  | 4.72  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 104.72  |
| 87 | 华金证券 | 100 | 0.00  | 0.00  | 0.00  | 0.00  | 5.10  | 0.00  | 0.08  | 0.00  | 5.17  | 0.00  | 0.00  | 0.00  | 0.00  | 0.57  | 0.00  | 0.00  | 0.00  | 0.57  | 104.60  |
| 88 | 诚通证券 | 100 | 0.00  | 0.00  | 0.00  | 0.00  | 5.02  | 0.00  | 0.26  | 0.00  | 5.28  | 0.00  | 0.00  | 0.00  | 0.00  | 1.14  | 0.00  | 0.00  | 0.00  | 1.14  | 104.14  |
| 89 | 财达证券 | 100 | 0.00  | 0.00  | 0.00  | 0.00  | 5.07  | 3.53  | 0.67  | 0.00  | 9.27  | 0.00  | 0.00  | 0.00  | 0.00  | 5.14  | 0.00  | 0.00  | 0.00  | 5.14  | 104.13  |
| 90 | 东兴证券 | 100 | 0.00  | 0.00  | 0.00  | 0.18  | 5.41  | 0.00  | 0.99  | 0.00  | 6.58  | 0.00  | 0.00  | 0.00  | 0.00  | 2.86  | 0.00  | 0.00  | 0.00  | 2.86  | 103.72  |
| 91 | 中邮证券 | 100 | 0.00  | 0.00  | 0.00  | 0.00  | 3.95  | 0.00  | 0.08  | 0.00  | 4.03  | 0.00  | 0.00  | 0.00  | 0.00  | 0.57  | 0.00  | 0.00  | 0.00  | 0.57  | 103.46  |
| 92 | 大通证券 | 100 | 0.00  | 0.00  | 0.00  | 0.00  | 4.56  | 2.91  | 0.12  | 0.00  | 7.59  | 0.00  | 0.00  | 0.00  | 0.00  | 5.00  | 0.00  | 0.00  | 0.00  | 5.00  | 102.59  |
| 93 | 爱建证券 | 100 | 0.00  | 0.00  | 0.00  | 0.00  | 4.83  | 1.53  | 0.08  | 0.12  | 6.55  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 4.00  | 0.00  | 0.00  | 4.00  | 102.55  |
| 94 | 网信证券 | 100 | 0.00  | 0.00  | 0.00  | 0.00  | 4.19  | 0.00  | 0.03  | 0.00  | 4.22  | 0.00  | 0.00  | 0.00  | 0.00  | 1.71  | 0.00  | 0.00  | 0.00  | 1.71  | 102.51  |
| 95 | 东亚前海 | 100 | 0.00  | 0.00  | 0.00  | 0.00  | 4.04  | 0.00  | 0.03  | 0.00  | 4.07  | 0.00  | 0.00  | 0.00  | 0.00  | 1.71  | 0.00  | 0.00  | 0.00  | 1.71  | 102.36  |
| 96 | 华宝证券 | 100 | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 0.29  | 0.00  | 0.29  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 100.29  |
| 97 | 中天证券 | 100 | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 1.17  | 0.11  | 0.00  | 1.28  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 1.00  | 0.00  | 0.00  | 1.00  | 100.28  |
| 98 | 宏信证券 | 100 | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 0.16  | 0.00  | 0.16  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 0.00  | 100.16  |
| 99 | 瑞银证券 | 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  |
| 100 | 华福证券 | 100 | 0.00  | 0.00  | 0.00  | 0.71  | 4.90  | 2.16  | 1.66  | 0.44  | 9.86  | 0.00  | 0.00  | 0.00  | 0.00  | 10.00  | 0.00  | 0.00  | 0.00  | 10.00  | 99.86  |
| 101 | 金圆统一 | 100 | 0.00  | 0.00  | 0.00  | 0.50  | 3.92  | 0.00  | 0.00  | 0.00  | 4.42  | 0.00  | 0.00  | 0.00  | 0.00  | 5.14  | 0.00  | 0.00  | 0.00  | 5.14  | 99.28  |

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。