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。