附件

主办券商执业质量月度评价结果（2018年3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 | 广州证券 | 0.00 | 0.00 | 0.00 | 0.00 | 1.00 | 107.00 | 170.50 | 107.00 | 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 | 国元证券 | 0.00 | 0.00 | 0.00 | 0.00 | 1.00 | 129.50 | 31.00 | 129.50 | 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 |
| 3 | 华安证券 | 0.00 | 0.00 | 0.00 | 0.00 | 2.00 | 89.50 | 121.00 | 89.50 | 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 | 西部证券 | 0.00 | 0.00 | 0.00 | 0.00 | 1.00 | 226.50 | 95.50 | 226.50 | 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 | 金元证券 | 0.00 | 0.00 | 0.00 | 0.00 | 1.00 | 80.50 | 49.50 | 80.50 | 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 |
| 6 | 申万宏源 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 641.00 | 218.50 | 641.00 | 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 |
| 7 | 广发证券 | 0.00 | 1.00 | 0.00 | 0.00 | 1.00 | 295.00 | 154.50 | 295.00 | 1.00 | 0.80 | 1.00 | 1.00 | 1.00 | 1.00 | 1.00 | 1.00 | 20.00 | 32.00 | 30.00 | 10.00 | 92.00 |
| 8 | 网信证券 | 0.00 | 0.00 | 0.00 | 0.00 | 3.00 | 19.50 | 16.00 | 19.50 | 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 |
| 9 | 中泰证券 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 478.50 | 237.50 | 478.50 | 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 |
| 10 | 中信建投 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 381.50 | 59.00 | 381.50 | 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 |
| 11 | 兴业证券 | 0.00 | 1.00 | 0.00 | 1.00 | 1.00 | 340.50 | 255.50 | 340.50 | 1.00 | 0.80 | 1.00 | 0.80 | 1.00 | 1.00 | 1.00 | 1.00 | 20.00 | 32.00 | 30.00 | 8.00 | 90.00 |
| 12 | 光大证券 | 0.00 | 2.00 | 0.00 | 0.00 | 1.00 | 241.50 | 131.00 | 241.50 | 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 |
| 13 | 国信证券 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 276.50 | 92.00 | 276.50 | 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 |
| 14 | 国泰君安 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 207.50 | 235.50 | 207.50 | 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 |
| 15 | 东吴证券 | 0.00 | 1.00 | 0.00 | 3.00 | 1.00 | 391.00 | 105.50 | 391.00 | 1.00 | 0.80 | 1.00 | 0.70 | 1.00 | 1.00 | 1.00 | 1.00 | 20.00 | 32.00 | 30.00 | 7.00 | 89.00 |
| 16 | 长江证券 | 0.00 | 0.00 | 0.00 | 1.00 | 0.00 | 385.00 | 180.50 | 385.00 | 0.60 | 1.00 | 1.00 | 0.80 | 0.80 | 1.00 | 1.00 | 1.00 | 9.60 | 40.00 | 30.00 | 8.00 | 87.60 |
| 17 | 财通证券 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 231.00 | 69.00 | 231.00 | 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 | 国金证券 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 160.00 | 27.00 | 160.00 | 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 |
| 19 | 上海证券 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 88.00 | 206.50 | 88.00 | 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 | 中信证券 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 44.50 | 151.50 | 44.50 | 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 |
| 21 | 信达证券 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 49.50 | 84.50 | 49.50 | 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 | 联储证券 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 26.50 | 23.50 | 26.50 | 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 | 海通证券 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 165.50 | 136.50 | 165.50 | 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 |
| 24 | 华泰证券 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 51.50 | 43.00 | 51.50 | 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 |
| 25 | 联讯证券 | 0.00 | 0.00 | 0.00 | 1.00 | 0.00 | 56.50 | 169.50 | 56.50 | 0.60 | 1.00 | 1.00 | 0.70 | 0.80 | 1.00 | 1.00 | 1.00 | 9.60 | 40.00 | 30.00 | 7.00 | 86.60 |
| 26 | 长城证券 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 92.50 | 26.50 | 92.50 | 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 |
| 27 | 开源证券 | 0.00 | 1.00 | 0.00 | 1.00 | 2.00 | 191.00 | 107.00 | 191.00 | 1.00 | 0.80 | 1.00 | 0.70 | 1.00 | 1.00 | 1.00 | 1.00 | 20.00 | 32.00 | 30.00 | 7.00 | 89.00 |
| 28 | 太平洋证券 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 152.00 | 59.00 | 152.00 | 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 |
| 29 | 东海证券 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 72.00 | 16.00 | 72.00 | 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 | 天风证券 | 0.00 | 0.00 | 0.00 | 0.50 | 0.00 | 161.50 | 178.50 | 161.50 | 0.60 | 1.00 | 1.00 | 0.80 | 0.80 | 1.00 | 1.00 | 1.00 | 9.60 | 40.00 | 30.00 | 8.00 | 87.60 |
| 31 | 方正证券 | 0.00 | 2.50 | 0.00 | 0.00 | 1.00 | 228.00 | 45.50 | 228.00 | 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 |
| 32 | 新时代证券 | 0.00 | 2.00 | 0.00 | 0.00 | 1.00 | 144.50 | 20.00 | 144.50 | 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 |
| 33 | 国都证券 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 63.00 | 41.00 | 63.00 | 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 | 56.00 | 81.00 | 56.00 | 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 |
| 35 | 华融证券 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 82.50 | 105.50 | 82.50 | 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 |
| 36 | 国联证券 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 124.00 | 62.00 | 124.00 | 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 | 东北证券 | 0.00 | 0.00 | 22.50 | 2.00 | 2.00 | 349.50 | 146.50 | 349.50 | 1.00 | 1.00 | 0.60 | 0.70 | 1.00 | 1.00 | 1.00 | 1.00 | 20.00 | 40.00 | 18.00 | 7.00 | 85.00 |
| 38 | 银河证券 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 93.50 | 51.00 | 93.50 | 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 | 渤海证券 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 49.50 | 50.00 | 49.50 | 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 |
| 40 | 第一创业 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 29.00 | 104.50 | 29.00 | 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 | 民生证券 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 79.00 | 59.50 | 79.00 | 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 | 华鑫证券 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 41.00 | 33.50 | 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 |
| 43 | 德邦证券 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 46.00 | 31.00 | 46.00 | 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 | 英大证券 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 36.00 | 15.50 | 36.00 | 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 |
| 45 | 华福证券 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 56.50 | 72.00 | 56.50 | 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 | 山西证券 | 0.00 | 1.00 | 0.00 | 0.00 | 1.00 | 103.50 | 60.50 | 103.50 | 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 |
| 47 | 国融证券 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 246.50 | 10.50 | 246.50 | 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 |
| 48 | 安信证券 | 0.00 | 0.50 | 0.00 | 2.00 | 0.00 | 596.50 | 134.50 | 596.50 | 0.60 | 0.80 | 1.00 | 0.80 | 0.80 | 1.00 | 1.00 | 1.00 | 9.60 | 32.00 | 30.00 | 8.00 | 79.60 |
| 49 | 恒泰证券 | 0.00 | 1.00 | 0.00 | 0.00 | 2.00 | 123.50 | 52.50 | 123.50 | 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 |
| 50 | 招商证券 | 0.00 | 1.00 | 0.00 | 0.50 | 0.00 | 391.50 | 111.50 | 391.50 | 0.60 | 0.80 | 1.00 | 0.80 | 0.80 | 1.00 | 1.00 | 1.00 | 9.60 | 32.00 | 30.00 | 8.00 | 79.60 |
| 51 | 财富证券 | 0.00 | 0.00 | 0.00 | 0.50 | 0.00 | 67.50 | 78.00 | 67.50 | 0.60 | 1.00 | 1.00 | 0.70 | 0.80 | 1.00 | 1.00 | 1.00 | 9.60 | 40.00 | 30.00 | 7.00 | 86.60 |
| 52 | 中银国际 | 0.00 | 0.00 | 0.00 | 0.50 | 0.00 | 100.00 | 63.50 | 100.00 | 0.60 | 1.00 | 1.00 | 0.70 | 0.80 | 1.00 | 1.00 | 1.00 | 9.60 | 40.00 | 30.00 | 7.00 | 86.60 |
| 53 | 中山证券 | 0.00 | 0.00 | 0.00 | 0.50 | 0.00 | 72.50 | 174.50 | 72.50 | 0.60 | 1.00 | 1.00 | 0.70 | 0.80 | 1.00 | 1.00 | 1.00 | 9.60 | 40.00 | 30.00 | 7.00 | 86.60 |
| 54 | 华创证券 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 114.50 | 10.00 | 114.50 | 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 |
| 55 | 国盛证券 | 0.50 | 0.00 | 0.00 | 0.00 | 0.00 | 71.00 | 15.00 | 71.00 | 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 |
| 56 | 民族证券 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 43.00 | 15.00 | 43.00 | 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 |
| 57 | 南京证券 | 0.00 | 0.00 | 0.00 | 0.50 | 0.00 | 67.50 | 55.50 | 67.50 | 0.60 | 1.00 | 1.00 | 0.70 | 0.80 | 1.00 | 1.00 | 1.00 | 9.60 | 40.00 | 30.00 | 7.00 | 86.60 |
| 58 | 湘财证券 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 73.00 | 15.00 | 73.00 | 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 |
| 59 | 中投证券 | 0.00 | 0.00 | 0.00 | 1.00 | 0.00 | 58.50 | 75.00 | 58.50 | 0.60 | 1.00 | 1.00 | 0.70 | 0.80 | 1.00 | 1.00 | 1.00 | 9.60 | 40.00 | 30.00 | 7.00 | 86.60 |
| 60 | 五矿证券 | 0.00 | 0.00 | 0.00 | 2.00 | 0.00 | 39.50 | 29.50 | 39.50 | 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 |
| 61 | 中原证券 | 0.00 | 0.00 | 1.00 | 0.50 | 1.00 | 147.50 | 113.00 | 147.50 | 1.00 | 1.00 | 0.60 | 0.80 | 1.00 | 1.00 | 1.00 | 1.00 | 20.00 | 40.00 | 18.00 | 8.00 | 86.00 |
| 62 | 申港证券 | 0.00 | 0.00 | 0.00 | 0.50 | 1.00 | 15.00 | 4.00 | 15.00 | 1.00 | 1.00 | 1.00 | 0.60 | 1.00 | 0.90 | 0.80 | 0.90 | 20.00 | 36.00 | 24.00 | 5.40 | 85.40 |
| 63 | 东莞证券 | 0.00 | 1.50 | 0.00 | 0.50 | 0.00 | 272.00 | 108.50 | 272.00 | 0.60 | 0.80 | 1.00 | 0.80 | 0.80 | 1.00 | 1.00 | 1.00 | 9.60 | 32.00 | 30.00 | 8.00 | 79.60 |
| 64 | 大通证券 | 0.00 | 0.00 | 0.00 | 0.50 | 0.00 | 45.00 | 7.00 | 45.00 | 0.60 | 1.00 | 1.00 | 0.70 | 0.80 | 1.00 | 0.90 | 1.00 | 9.60 | 40.00 | 27.00 | 7.00 | 83.60 |
| 65 | 世纪证券 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 9.00 | 77.00 | 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 |
| 66 | 华金证券 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 15.00 | 37.00 | 15.00 | 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 |
| 67 | 中金公司 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 20.50 | 24.00 | 20.50 | 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 |
| 68 | 中航证券 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 27.00 | 4.50 | 27.00 | 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 |
| 69 | 九州证券 | 0.00 | 0.00 | 0.00 | 0.50 | 0.00 | 20.00 | 207.50 | 20.00 | 0.60 | 1.00 | 1.00 | 0.60 | 0.80 | 0.90 | 1.00 | 0.90 | 9.60 | 36.00 | 30.00 | 5.40 | 81.00 |
| 70 | 华龙证券 | 0.00 | 0.50 | 0.00 | 0.00 | 0.00 | 96.00 | 49.00 | 96.00 | 0.60 | 0.80 | 1.00 | 1.00 | 0.80 | 1.00 | 1.00 | 1.00 | 9.60 | 32.00 | 30.00 | 10.00 | 81.60 |
| 71 | 爱建证券 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 18.00 | 10.00 | 18.00 | 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 |
| 72 | 川财证券 | 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 | 0.90 | 0.90 | 9.60 | 36.00 | 27.00 | 9.00 | 81.60 |
| 73 | 国海证券 | 0.00 | 1.00 | 0.00 | 1.50 | 1.00 | 135.00 | 114.00 | 135.00 | 1.00 | 0.70 | 1.00 | 0.70 | 1.00 | 1.00 | 1.00 | 1.00 | 20.00 | 28.00 | 30.00 | 7.00 | 85.00 |
| 74 | 华信证券 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 6.00 | 21.00 | 6.00 | 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 |
| 75 | 国开证券 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 8.00 | 19.00 | 8.00 | 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 |
| 76 | 首创证券 | 0.00 | 1.00 | 0.00 | 0.50 | 0.00 | 117.00 | 62.50 | 117.00 | 0.60 | 0.70 | 1.00 | 0.70 | 0.80 | 1.00 | 1.00 | 1.00 | 9.60 | 28.00 | 30.00 | 7.00 | 74.60 |
| 77 | 万联证券 | 0.00 | 1.00 | 0.00 | 0.00 | 0.00 | 86.00 | 118.00 | 86.00 | 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 |
| 78 | 大同证券 | 0.00 | 0.00 | 0.00 | 0.50 | 0.00 | 12.50 | 10.00 | 12.50 | 0.60 | 1.00 | 1.00 | 0.60 | 0.80 | 0.90 | 0.90 | 0.90 | 9.60 | 36.00 | 27.00 | 5.40 | 78.00 |
| 79 | 西南证券 | 0.00 | 1.00 | 0.00 | 1.00 | 0.00 | 270.00 | 43.00 | 270.00 | 0.60 | 0.80 | 1.00 | 0.80 | 0.80 | 1.00 | 1.00 | 1.00 | 9.60 | 32.00 | 30.00 | 8.00 | 79.60 |
| 80 | 财达证券 | 0.00 | 1.00 | 0.00 | 0.00 | 0.00 | 98.50 | 50.50 | 98.50 | 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 |
| 81 | 浙商证券 | 0.00 | 1.50 | 0.00 | 0.50 | 0.00 | 143.50 | 71.00 | 143.50 | 0.60 | 0.70 | 1.00 | 0.80 | 0.80 | 1.00 | 1.00 | 1.00 | 9.60 | 28.00 | 30.00 | 8.00 | 75.60 |
| 82 | 东兴证券 | 0.00 | 1.00 | 0.00 | 0.50 | 0.00 | 157.00 | 66.50 | 157.00 | 0.60 | 0.70 | 1.00 | 0.80 | 0.80 | 1.00 | 1.00 | 1.00 | 9.60 | 28.00 | 30.00 | 8.00 | 75.60 |
| 83 | 东方财富 | 0.00 | 0.00 | 0.50 | 0.50 | 0.00 | 48.50 | 22.50 | 48.50 | 0.60 | 1.00 | 0.60 | 0.70 | 0.80 | 1.00 | 1.00 | 1.00 | 9.60 | 40.00 | 18.00 | 7.00 | 74.60 |
| 84 | 平安证券 | 0.00 | 1.00 | 0.00 | 1.50 | 0.00 | 65.50 | 40.00 | 65.50 | 0.60 | 0.70 | 1.00 | 0.70 | 0.80 | 1.00 | 1.00 | 1.00 | 9.60 | 28.00 | 30.00 | 7.00 | 74.60 |
| 85 | 华林证券 | 0.00 | 1.00 | 0.00 | 0.00 | 0.00 | 61.00 | 31.00 | 61.00 | 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 |
| 86 | 江海证券 | 0.00 | 2.00 | 0.00 | 0.00 | 0.00 | 81.00 | 35.50 | 81.00 | 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 | 长城国瑞 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 7.00 | 1.00 | 7.00 | 0.60 | 1.00 | 1.00 | 1.00 | 0.80 | 0.80 | 0.80 | 0.80 | 9.60 | 32.00 | 24.00 | 8.00 | 73.60 |
| 88 | 华西证券 | 0.00 | 1.00 | 0.00 | 0.00 | 0.00 | 62.50 | 6.00 | 62.50 | 0.60 | 0.70 | 1.00 | 1.00 | 0.80 | 1.00 | 0.80 | 1.00 | 9.60 | 28.00 | 24.00 | 10.00 | 71.60 |
| 89 | 红塔证券 | 0.00 | 1.00 | 0.00 | 0.00 | 0.00 | 11.00 | 36.00 | 11.00 | 0.60 | 0.60 | 1.00 | 1.00 | 0.80 | 0.90 | 1.00 | 0.90 | 9.60 | 21.60 | 30.00 | 9.00 | 70.20 |
| 90 | 万和证券 | 0.00 | 1.00 | 0.00 | 0.00 | 0.00 | 5.00 | 42.50 | 5.00 | 0.60 | 0.60 | 1.00 | 1.00 | 0.80 | 0.80 | 1.00 | 0.80 | 9.60 | 19.20 | 30.00 | 8.00 | 66.80 |
| 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 | 5.50 | 0.00 | 5.50 | 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 | 8.00 | 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 | 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 |
| 96 | 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 | 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 |

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3月排序** | **2018年2月排序**\* | **2017年3月排序** | **2017年4月-2018年3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** | **研究报告数量** | **净承接督导家数** | **合计**  **加点** | **自律监管措施** |
| 1 | 广州证券 | 100.00 |  | 1.00 | 1.00 |  |  | 2.00 |  | 4.00 | 0.00 | 104.00 | 1 | 24 | 2 | 8 |
| 2 | 国元证券 | 100.00 |  | 1.00 |  |  |  |  | 1.00 | 2.00 | 0.00 | 102.00 | 2 | 45 | 17 | 17 |
| 3 | 华安证券 | 100.00 |  |  |  |  |  |  | 0.50 | 0.50 | 0.00 | 100.50 | 3 | 35 | 88 | 84 |
| 4 | 西部证券 | 100.00 | 0.50 |  |  |  |  |  |  | 0.50 | 0.00 | 100.50 | 3 | 24 | 63 | 7 |
| 5 | 金元证券 | 100.00 |  |  |  |  |  |  |  | 0.00 | 0.00 | 100.00 | 5 | 45 | 43 | 50 |
| 6 | 申万宏源 | 89.60 | 2.00 | 3.00 |  | 0.50 |  | 1.00 | 2.00 | 8.50 | 0.00 | 98.10 | 6 | 66 | 28 | 11 |
| 7 | 广发证券 | 92.00 | 2.00 | 1.00 | 1.00 | 0.50 |  |  |  | 4.50 | 0.00 | 96.50 | 7 | 18 | 10 | 23 |
| 8 | 网信证券 | 95.00 |  |  |  |  |  |  | 0.50 | 0.50 | 0.00 | 95.50 | 8 | 65 | 43 | 77 |
| 9 | 中泰证券 | 89.60 | 2.00 | 3.00 | 0.50 |  |  |  |  | 5.50 | 0.00 | 95.10 | 9 | 1 | 6 | 26 |
| 10 | 中信建投 | 89.60 | 2.00 | 3.00 |  |  |  |  |  | 5.00 | 0.00 | 94.60 | 10 | 22 | 22 | 1 |
| 11 | 兴业证券 | 90.00 | 0.50 | 2.00 | 0.50 |  |  | 1.00 | 0.50 | 4.50 | 0.00 | 94.50 | 11 | 20 | 10 | 13 |
| 12 | 光大证券 | 88.00 | 0.50 |  |  |  | 2.00 | 2.00 | 2.00 | 6.50 | 0.00 | 94.50 | 11 | 80 | 43 | 67 |
| 13 | 国信证券 | 89.60 | 1.00 | 1.00 | 1.50 | 0.50 |  | 0.50 |  | 4.50 | 0.00 | 94.10 | 13 | 17 | 30 | 32 |
| 14 | 国泰君安 | 89.60 | 0.50 |  | 1.50 | 1.50 |  |  | 1.00 | 4.50 | 0.00 | 94.10 | 13 | 15 | 1 | 4 |
| 15 | 东吴证券 | 89.00 | 1.00 | 1.00 |  |  |  | 1.00 | 2.00 | 5.00 | 0.00 | 94.00 | 15 | 61 | 60 | 12 |
| 16 | 长江证券 | 87.60 | 1.00 | 2.00 |  |  |  | 0.50 | 2.00 | 5.50 | 0.00 | 93.10 | 16 | 27 | 85 | 14 |
| 17 | 财通证券 | 89.60 | 0.50 |  |  |  | 2.00 |  | 0.50 | 3.00 | 0.00 | 92.60 | 17 | 12 | 15 | 36 |
| 18 | 国金证券 | 89.60 | 0.50 | 1.00 |  | 0.50 |  | 0.50 | 0.50 | 3.00 | 0.00 | 92.60 | 17 | 30 | 66 | 66 |
| 19 | 上海证券 | 89.60 |  |  | 1.50 | 0.50 |  | 0.50 |  | 2.50 | 0.00 | 92.10 | 19 | 27 | 4 | 21 |
| 20 | 中信证券 | 89.60 | 0.50 |  | 0.50 | 1.00 |  | 0.50 |  | 2.50 | 0.00 | 92.10 | 19 | 30 | 41 | 4 |
| 21 | 信达证券 | 89.60 |  |  |  |  |  | 0.50 | 2.00 | 2.50 | 0.00 | 92.10 | 19 | 27 | 43 | 39 |
| 22 | 联储证券 | 89.60 |  |  |  |  |  |  | 2.00 | 2.00 | 0.00 | 91.60 | 22 | 81 | 94 | 59 |
| 23 | 海通证券 | 89.60 | 0.50 |  | 0.50 |  |  | 0.50 |  | 1.50 | 0.00 | 91.10 | 23 | 33 | 63 | 22 |
| 24 | 华泰证券 | 89.60 |  | 1.00 | 0.50 |  |  |  |  | 1.50 | 0.00 | 91.10 | 23 | 42 | 81 | 49 |
| 25 | 联讯证券 | 86.60 |  |  | 0.50 |  | 2.00 | 2.00 |  | 4.50 | 0.00 | 91.10 | 23 | 59 | 59 | 41 |
| 26 | 长城证券 | 89.60 |  | 1.00 |  |  |  |  | 0.50 | 1.50 | 0.00 | 91.10 | 23 | 82 | 91 | 79 |
| 27 | 开源证券 | 89.00 |  | 1.00 |  |  |  |  | 1.00 | 2.00 | 0.00 | 91.00 | 27 | 8 | 16 | 54 |
| 28 | 太平洋证券 | 89.60 |  | 1.00 |  |  |  |  |  | 1.00 | 0.00 | 90.60 | 28 | 4 | 17 | 2 |
| 29 | 东海证券 | 89.60 |  |  |  | 1.00 |  |  |  | 1.00 | 0.00 | 90.60 | 28 | 42 | 22 | 80 |
| 30 | 天风证券 | 87.60 |  |  | 1.00 |  |  |  | 2.00 | 3.00 | 0.00 | 90.60 | 28 | 33 | 66 | 30 |
| 31 | 方正证券 | 88.00 |  | 1.00 |  | 1.50 |  |  |  | 2.50 | 0.00 | 90.50 | 31 | 3 | 3 | 15 |
| 32 | 新时代证券 | 88.00 |  | 1.00 |  | 0.50 |  |  | 1.00 | 2.50 | 0.00 | 90.50 | 31 | 57 | 22 | 20 |
| 33 | 国都证券 | 89.60 |  |  |  |  |  |  | 0.50 | 0.50 | 0.00 | 90.10 | 33 | 4 | 32 | 65 |
| 34 | 东方证券 | 89.60 |  |  | 0.50 |  |  |  |  | 0.50 | 0.00 | 90.10 | 33 | 35 | 76 | 82 |
| 35 | 华融证券 | 89.60 |  |  |  |  |  |  | 0.50 | 0.50 | 0.00 | 90.10 | 33 | 35 | 36 | 90 |
| 36 | 国联证券 | 89.60 |  |  |  |  |  |  | 0.50 | 0.50 | 0.00 | 90.10 | 33 | 59 | 32 | 64 |
| 37 | 东北证券 | 85.00 | 1.00 | 2.00 |  |  |  | 1.00 | 1.00 | 5.00 | 0.00 | 90.00 | 37 | 1 | 60 | 37 |
| 38 | 银河证券 | 89.60 |  |  |  |  |  |  |  | 0.00 | 0.00 | 89.60 | 38 | 45 | 7 | 39 |
| 39 | 渤海证券 | 89.60 |  |  |  |  |  |  |  | 0.00 | 0.00 | 89.60 | 38 | 45 | 12 | 33 |
| 40 | 第一创业 | 89.60 |  |  |  |  |  |  |  | 0.00 | 0.00 | 89.60 | 38 | 45 | 43 | 56 |
| 41 | 民生证券 | 89.60 |  |  |  |  |  |  |  | 0.00 | 0.00 | 89.60 | 38 | 45 | 63 | 60 |
| 42 | 华鑫证券 | 89.60 |  |  |  |  |  |  |  | 0.00 | 0.00 | 89.60 | 38 | 45 | 31 | 27 |
| 43 | 德邦证券 | 89.60 |  |  |  |  |  |  |  | 0.00 | 0.00 | 89.60 | 38 | 45 | 43 | 75 |
| 44 | 英大证券 | 89.60 |  |  |  |  |  |  |  | 0.00 | 0.00 | 89.60 | 38 | 45 | 43 | 51 |
| 45 | 华福证券 | 89.60 |  |  |  |  |  |  |  | 0.00 | 0.00 | 89.60 | 38 | 93 | 90 | 87 |
| 46 | 山西证券 | 88.00 |  |  |  |  |  | 1.00 |  | 1.00 | 0.00 | 89.00 | 46 | 35 | 22 | 28 |
| 47 | 国融证券 | 86.60 |  | 1.00 |  | 0.50 |  |  | 0.50 | 2.00 | 0.00 | 88.60 | 47 | 9 | 38 | 58 |
| 48 | 安信证券 | 79.60 | 2.00 | 3.00 | 1.50 |  |  | 2.00 |  | 8.50 | 0.00 | 88.10 | 48 | 22 | 22 | 6 |
| 49 | 恒泰证券 | 88.00 |  |  |  |  |  |  |  | 0.00 | 0.00 | 88.00 | 49 | 12 | 87 | 48 |
| 50 | 招商证券 | 79.60 | 1.00 | 2.00 | 0.50 | 1.50 | 2.00 |  | 1.00 | 8.00 | 0.00 | 87.60 | 50 | 26 | 68 | 9 |
| 51 | 财富证券 | 86.60 |  |  |  |  |  | 0.50 | 0.50 | 1.00 | 0.00 | 87.60 | 51 | 86 | 28 | 44 |
| 52 | 中银国际 | 86.60 |  |  |  |  |  | 0.50 |  | 0.50 | 0.00 | 87.10 | 52 | 35 | 38 | 29 |
| 53 | 中山证券 | 86.60 |  |  | 0.50 |  |  |  |  | 0.50 | 0.00 | 87.10 | 52 | 45 | 85 | 68 |
| 54 | 华创证券 | 86.60 |  |  |  |  |  |  |  | 0.00 | 0.00 | 86.60 | 54 | 9 | 14 | 62 |
| 55 | 国盛证券 | 86.60 |  |  |  |  |  |  |  | 0.00 | 0.00 | 86.60 | 54 | 61 | 71 | 35 |
| 56 | 民族证券 | 86.60 |  |  |  |  |  |  |  | 0.00 | 0.00 | 86.60 | 54 | 61 | 43 | 45 |
| 57 | 南京证券 | 86.60 |  |  |  |  |  |  |  | 0.00 | 0.00 | 86.60 | 54 | 35 | 71 | 25 |
| 58 | 湘财证券 | 86.60 |  |  |  |  |  |  |  | 0.00 | 0.00 | 86.60 | 54 | 61 | 43 | 92 |
| 59 | 中投证券 | 86.60 |  |  |  |  |  |  |  | 0.00 | 0.00 | 86.60 | 54 | 90 | 70 | 56 |
| 60 | 五矿证券 | 85.60 |  |  |  |  |  |  | 0.50 | 0.50 | 0.00 | 86.10 | 60 | 82 | 71 | 73 |
| 61 | 中原证券 | 86.00 |  |  |  |  |  |  |  | 0.00 | 0.00 | 86.00 | 61 | 45 | 32 | 46 |
| 62 | 申港证券 | 85.40 |  |  |  |  |  |  |  | 0.00 | 0.00 | 85.40 | 62 | 56 | 81 | 47 |
| 63 | 东莞证券 | 79.60 | 0.50 | 3.00 | 1.00 | 1.00 |  |  |  | 5.50 | 0.00 | 85.10 | 63 | 16 | 37 | 16 |
| 64 | 大通证券 | 83.60 |  |  |  | 1.50 |  |  |  | 1.50 | 0.00 | 85.10 | 64 | 58 | 77 | 71 |
| 65 | 世纪证券 | 84.60 |  |  |  | 0.50 |  |  |  | 0.50 | 0.00 | 85.10 | 64 | 68 | 78 | 88 |
| 66 | 华金证券 | 84.60 |  |  |  |  |  | 0.50 |  | 0.50 | 0.00 | 85.10 | 64 | 66 | 43 | 31 |
| 67 | 中金公司 | 84.60 |  |  |  |  |  |  |  | 0.00 | 0.00 | 84.60 | 67 | 68 | 81 | 38 |
| 68 | 中航证券 | 83.60 |  |  |  |  |  |  |  | 0.00 | 0.00 | 83.60 | 68 | 72 | 43 | 55 |
| 69 | 九州证券 | 81.00 |  |  | 1.00 | 0.50 |  |  |  | 1.50 | 0.00 | 82.50 | 69 | 11 | 20 | 3 |
| 70 | 华龙证券 | 81.60 |  |  |  |  |  | 0.50 |  | 0.50 | 0.00 | 82.10 | 70 | 35 | 71 | 74 |
| 71 | 爱建证券 | 81.60 |  |  |  |  |  |  |  | 0.00 | 0.00 | 81.60 | 71 | 75 | 91 | 10 |
| 72 | 川财证券 | 81.60 |  |  |  |  |  |  |  | 0.00 | 0.00 | 81.60 | 71 | 74 | 69 | 63 |
| 73 | 国海证券 | 85.00 |  |  |  |  |  |  |  | 0.00 | -5.00 | 80.00 | 73 | 12 | 17 | 86 |
| 74 | 华信证券 | 79.60 |  |  |  |  |  |  |  | 0.00 | 0.00 | 79.60 | 74 | 77 | 43 | 53 |
| 75 | 国开证券 | 79.60 |  |  |  |  |  |  |  | 0.00 | 0.00 | 79.60 | 74 | 91 | 43 | 61 |
| 76 | 首创证券 | 74.60 |  |  | 1.50 | 1.00 |  |  | 2.00 | 4.50 | 0.00 | 79.10 | 76 | 20 | 12 | 42 |
| 77 | 万联证券 | 77.60 |  |  | 0.50 | 0.50 |  |  |  | 1.00 | 0.00 | 78.60 | 77 | 84 | 80 | 19 |
| 78 | 大同证券 | 78.00 |  |  |  |  |  |  | 0.50 | 0.50 | 0.00 | 78.50 | 78 | 75 | 5 | 76 |
| 79 | 西南证券 | 79.60 | 0.50 | 2.00 |  | 1.00 |  |  |  | 3.50 | -5.00 | 78.10 | 79 | 73 | 22 | 72 |
| 80 | 财达证券 | 77.60 |  |  |  |  |  |  |  | 0.00 | 0.00 | 77.60 | 80 | 4 | 60 | 24 |
| 81 | 浙商证券 | 75.60 |  | 1.00 |  |  |  |  |  | 1.00 | 0.00 | 76.60 | 81 | 77 | 32 | 81 |
| 82 | 东兴证券 | 75.60 |  |  |  |  |  |  |  | 0.00 | 0.00 | 75.60 | 82 | 19 | 78 | 52 |
| 83 | 东方财富 | 74.60 |  |  |  |  |  |  |  | 0.00 | 0.00 | 74.60 | 83 | 42 | 7 | 85 |
| 84 | 平安证券 | 74.60 |  |  |  |  |  |  |  | 0.00 | 0.00 | 74.60 | 83 | 30 | 21 | 93 |
| 85 | 华林证券 | 77.60 |  |  |  | 1.50 |  |  |  | 1.50 | -5.00 | 74.10 | 85 | 86 | 43 | 94 |
| 86 | 江海证券 | 73.60 |  |  |  |  |  |  |  | 0.00 | 0.00 | 73.60 | 86 | 4 | 71 | 17 |
| 87 | 长城国瑞 | 73.60 |  |  |  |  |  |  |  | 0.00 | 0.00 | 73.60 | 86 | 88 | 41 | 42 |
| 88 | 华西证券 | 71.60 |  | 1.00 |  |  |  |  | 0.50 | 1.50 | 0.00 | 73.10 | 88 | 68 | 7 | 70 |
| 89 | 红塔证券 | 70.20 |  |  |  |  |  |  |  | 0.00 | 0.00 | 70.20 | 89 | 68 | 43 | 78 |
| 90 | 万和证券 | 66.80 |  |  |  |  |  |  |  | 0.00 | 0.00 | 66.80 | 90 | 77 | 43 | 34 |
| 91 | 宏信证券 | 64.00 |  |  |  |  |  |  |  | 0.00 | 0.00 | 64.00 | 91 | 88 | 38 | 83 |
| 92 | 中邮证券 | 64.00 |  |  |  |  |  |  |  | 0.00 | 0.00 | 64.00 | 91 | 92 | 81 | 69 |
| 93 | 银泰证券 | 60.60 |  |  |  |  |  |  |  | 0.00 | 0.00 | 60.60 | 93 | 94 | 89 | 91 |
| 94 | 中天国富 | 58.00 |  |  |  |  |  |  |  | 0.00 | 0.00 | 58.00 | 94 | 85 | 93 | 89 |
| 95 | 华宝证券 | 48.00 |  |  |  |  |  |  |  | 0.00 | 0.00 | 48.00 | 95 | 95 | 94 | 95 |
| 96 | 中天证券 | 48.00 |  |  |  |  |  |  |  | 0.00 | 0.00 | 48.00 | 95 | 95 | 94 | 95 |
| 97 | 华菁证券 | 48.00 |  |  |  |  |  |  |  | 0.00 | 0.00 | 48.00 | 95 | 95 | - | 95 |

\*2018年2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。

\*\*2017年4月-2018年3月累计计值排序按照复议调整后的参数进行计算所得。同时，累计计值排序按新老办法各自适用的评价期分段计算（2018年2月之前适用《全国中小企业股份转让系统主办券商执业质量评价办法（试行）》，自2018年2月起适用《全国中小企业股份转让系统主办券商执业质量评价办法》），并经加权平均计算得到累计计值排序。

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)