

中国资本市场



总报告

2021



二 二一年十二月

引

2015 年以来，为反映我国资本市场投资者保护状况，中国证券投资者保护基金有限责任公司（以下简称“投保基金公司”）持续对我国资本市场投资者保护工作的具体情况进行跟踪研究，并编制发布《中国资本市场投资者保护状况蓝皮书》（简称《蓝皮书》）系列报告。

2021 年，投保基金公司结合资本市场改革发展实际，继续立足资本市场各参与主体的投资者保护职责、作用及成效，完成了对 2020 年度资本市场投资者保护状况的评价，分别编制形成了《中国资本市场投资者保护状况蓝皮书—证券投资者保护制度评价报告（2021）》《中国资本市场投资者保护状况蓝皮书—证券期货稽查执法投资者保护评价报告（2021）》《中国资本市场投资者保护状况蓝皮书—证券期货行业自律组织投资者保护（2021）》《中国资本市场投资者保护状况蓝皮书—A 股上市公司投资者保护状况评价报告（2021）》《中国资本市场投资者保护状况蓝皮书—证券公司投资者保护状况评价报告（2021）》和《中国资本市场投资者保护状况蓝皮书—公募基金管理人投资者保护状况评价报告（2021）》。

完善方向，以期为引导社会各方关注资本市场的投资者保护问题，完善我国资本市场投资者保护体系提供参考。

在编写《蓝皮书》编制过程中，我们广泛征求了监管部门、自律组织、

高等院校、市场研究机构、评价对象以及投资者等对评价方法的意见，不断修正市场化、法治化要求下投资者保护的评价标准，更加注重各类市场主体对投资者保护实际效果的意见。在此，感谢监管部门、自律组织、行业机构、投资者等对《蓝皮书》编制工作的大力支持！

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2020

2020	3473.07	422.95	
13.87%	14470.68	4039.91	38.70%
	27.15%	8511.33	2019
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			1.51		12.50%
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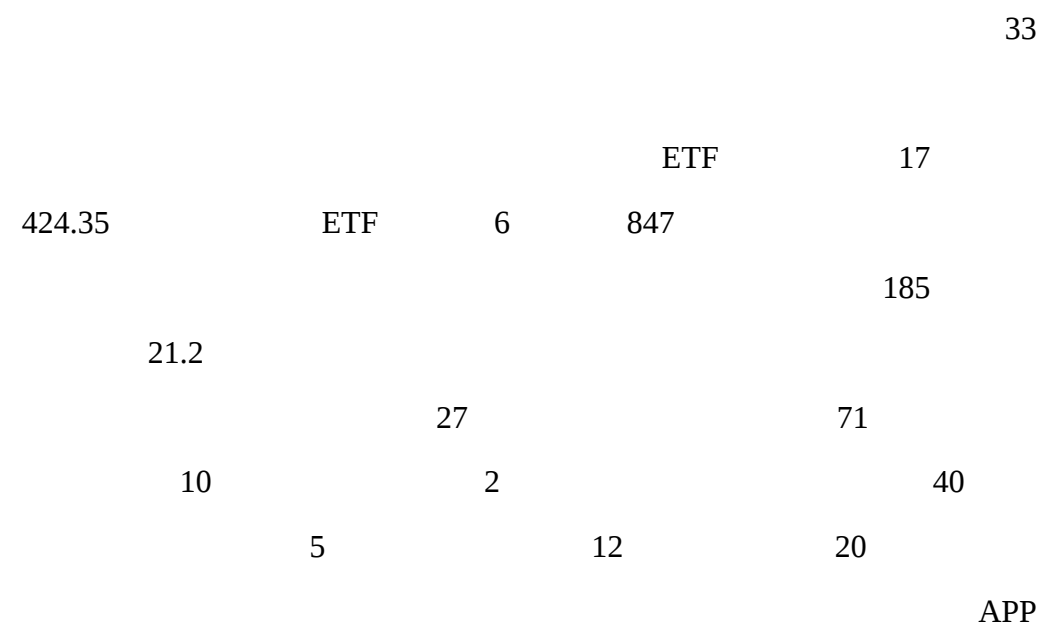
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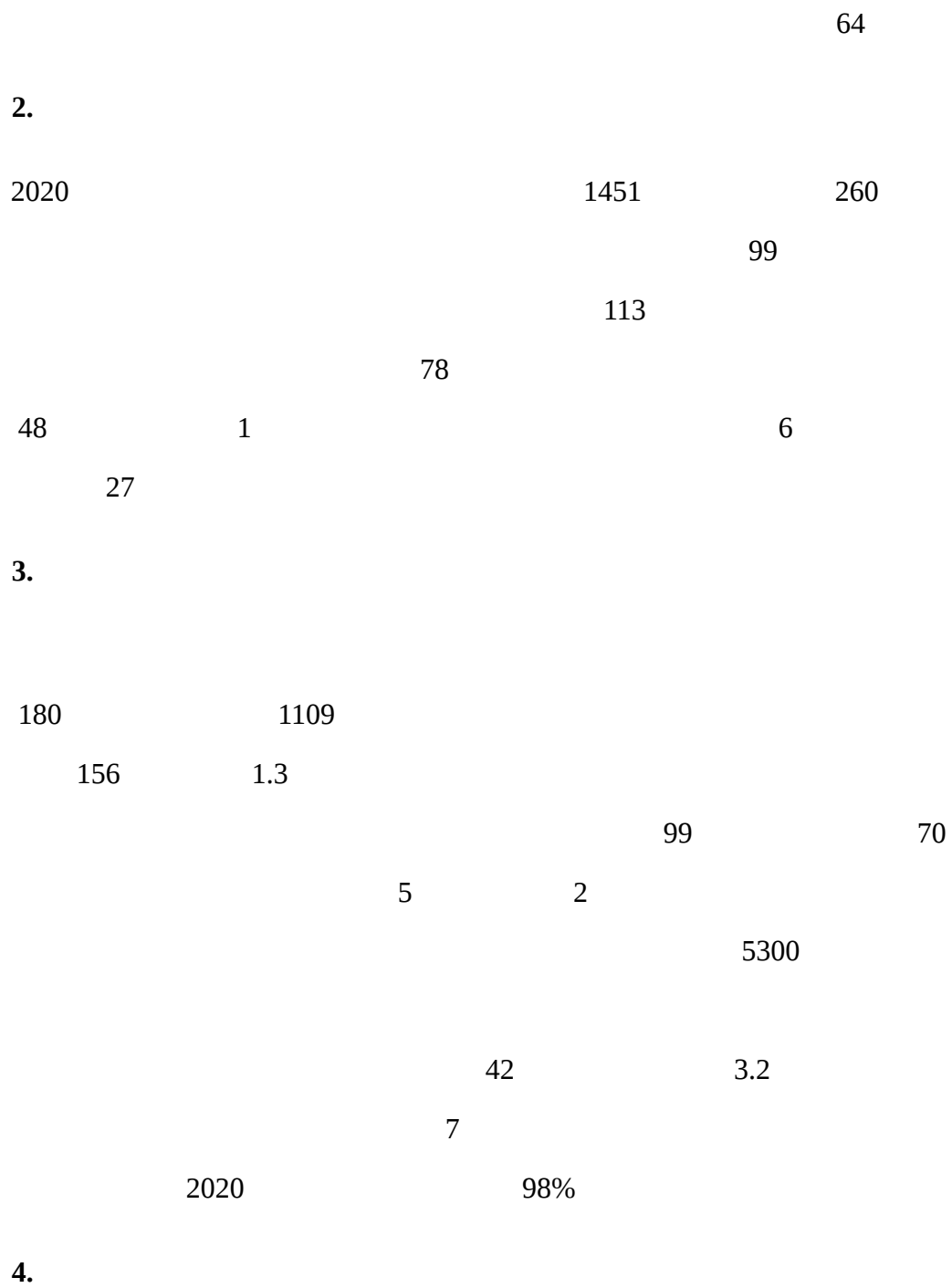


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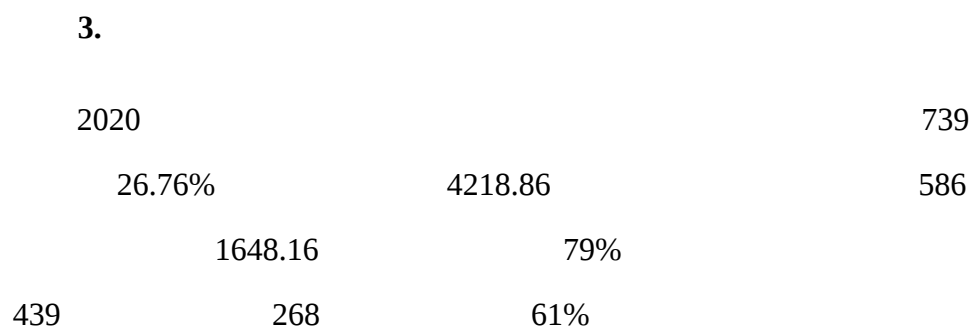
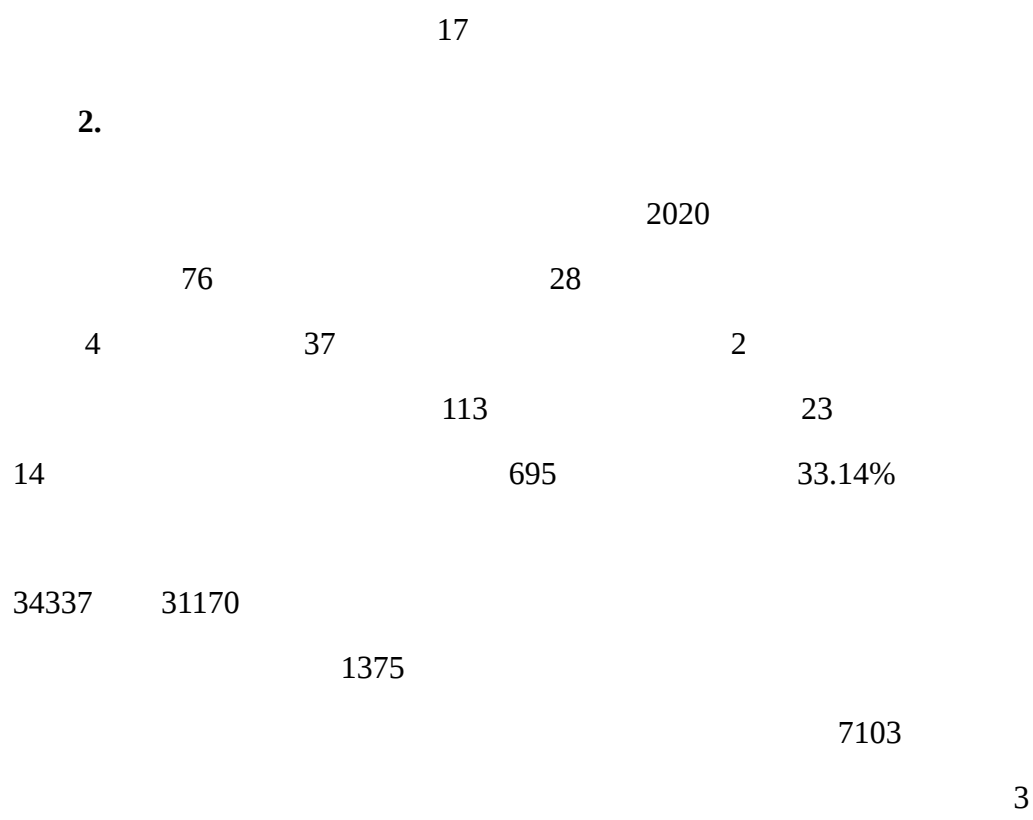
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9165	1846	2020	63.49
190.74	4984		
	3		
		2020	276
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		2020
A	75.66	2019 1.77

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59 20 1962 52.71% 3531
85.75% 0.66
2020 3648
98.01% 2853
76.65% 2717 “ ”
95.23%

			2020		
3543	86.04%	0.71			
			9		348
8.45%	8	523	12.70%		
	3322	80.67%	2.55		
		2020	273		
	25				259
		2984	72.46%		
1103	26.78%				
		2020			1/2
241	5.85%		1/3	1/2	
1986	48.23%				
		405	9.83%		
		2020	2620		
	1498				835
20.28%		1108	26.91%		
		2175	52.82%		
			2020		22
		2020		50%	
52	41.57%				80%
284	42.16%	350			

8.5%	1.15				
		2020	1109		
	170	2848			
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			2020	3945	
	91.63%				
				19	
		880		2752	
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	17.71	2.76	2020		
		964	23.41%		
				2020	
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”			3367	81.76%	
	50%		69	1.68%	
	21			10	
16					

			2020	620		
		15.06%			10%	
123	2.99%		50%	45	1.09%	
		31	0.75%			
			2020			
	1305	31.69%			86.44%	
2020	396		339		192	
				98		
		51		25	9	
	8	5				
					2020	

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29.81% 3684

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91.73	89.88	2.06%
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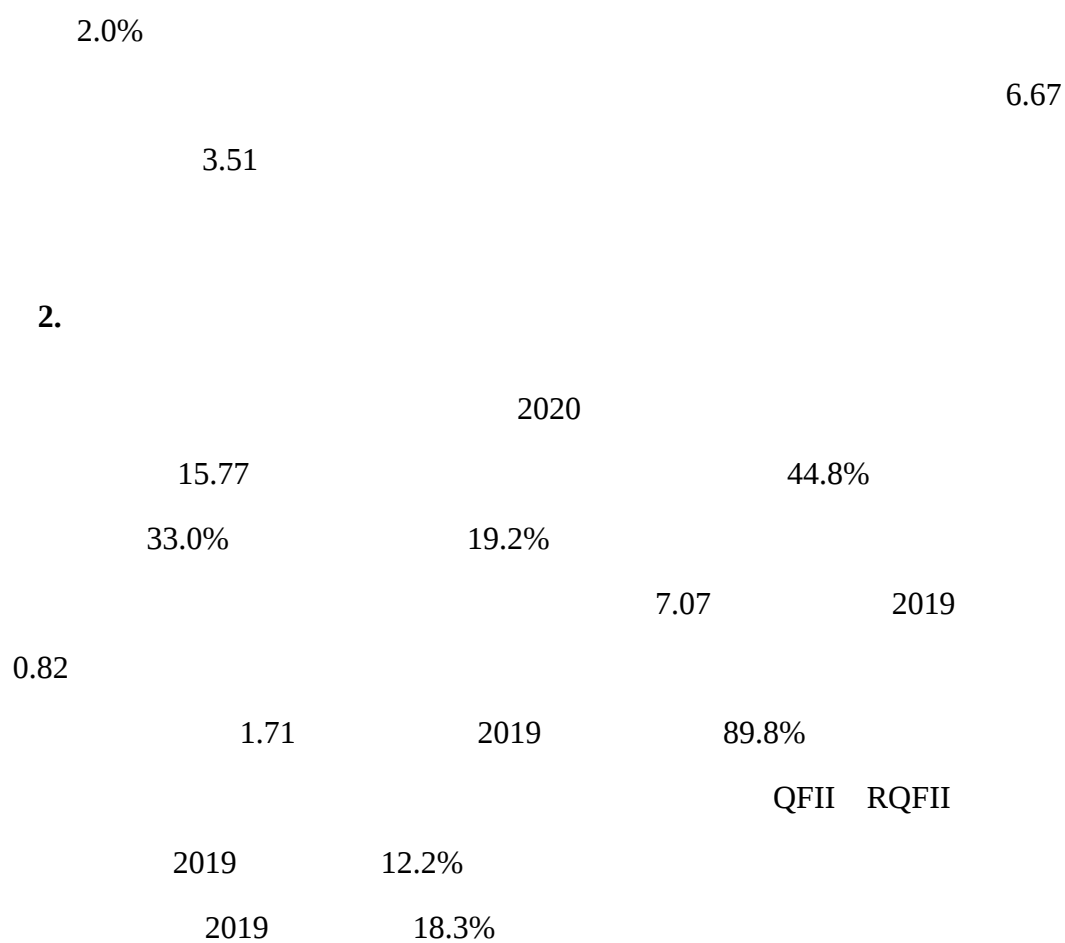
85.7%

84.7%



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2020	12				24561
	96852		15.97		
⁹ 8908		54355		3.77	
		14986		39802	29403
10399	28477		11.06		9.46
1.6				9	10
	9.96			658	
2685		1.15			
				2020	
13.92				8.40	
		7020			



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