





2014 ANNUAL REPORT

China Securities Regulatory Commission

图书在版编目(CIP)数据

中国财政经济出版社

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打击盗版举报电话 : 010 - 88190492

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1	2014	58
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4		81
5		84
6		92
7		92
8		96
9		98
10		98

主席致辞

4

11

2014

1 881

2014

4.1

966

97% 120%

A

2014

125

9

2014

5~10

1 572

2014

7 665

2.13

6
46
2014 2014

" 12386"

95%

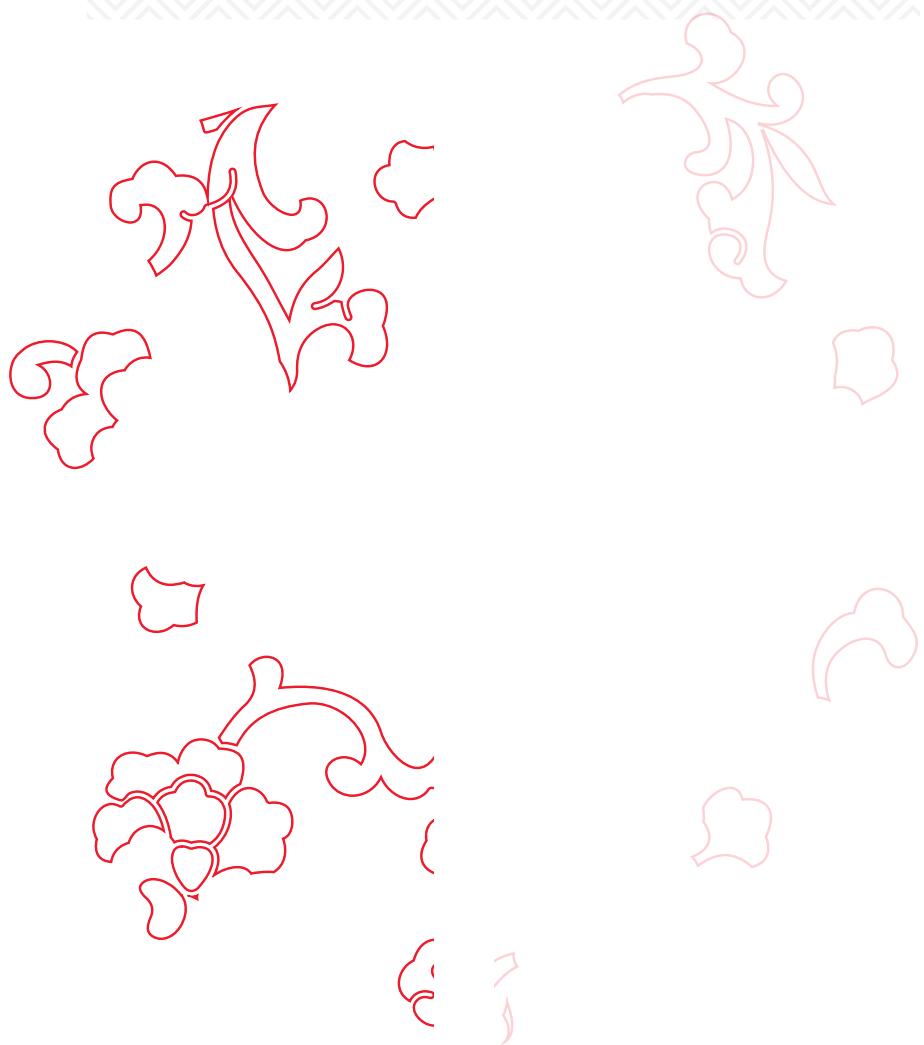
2014

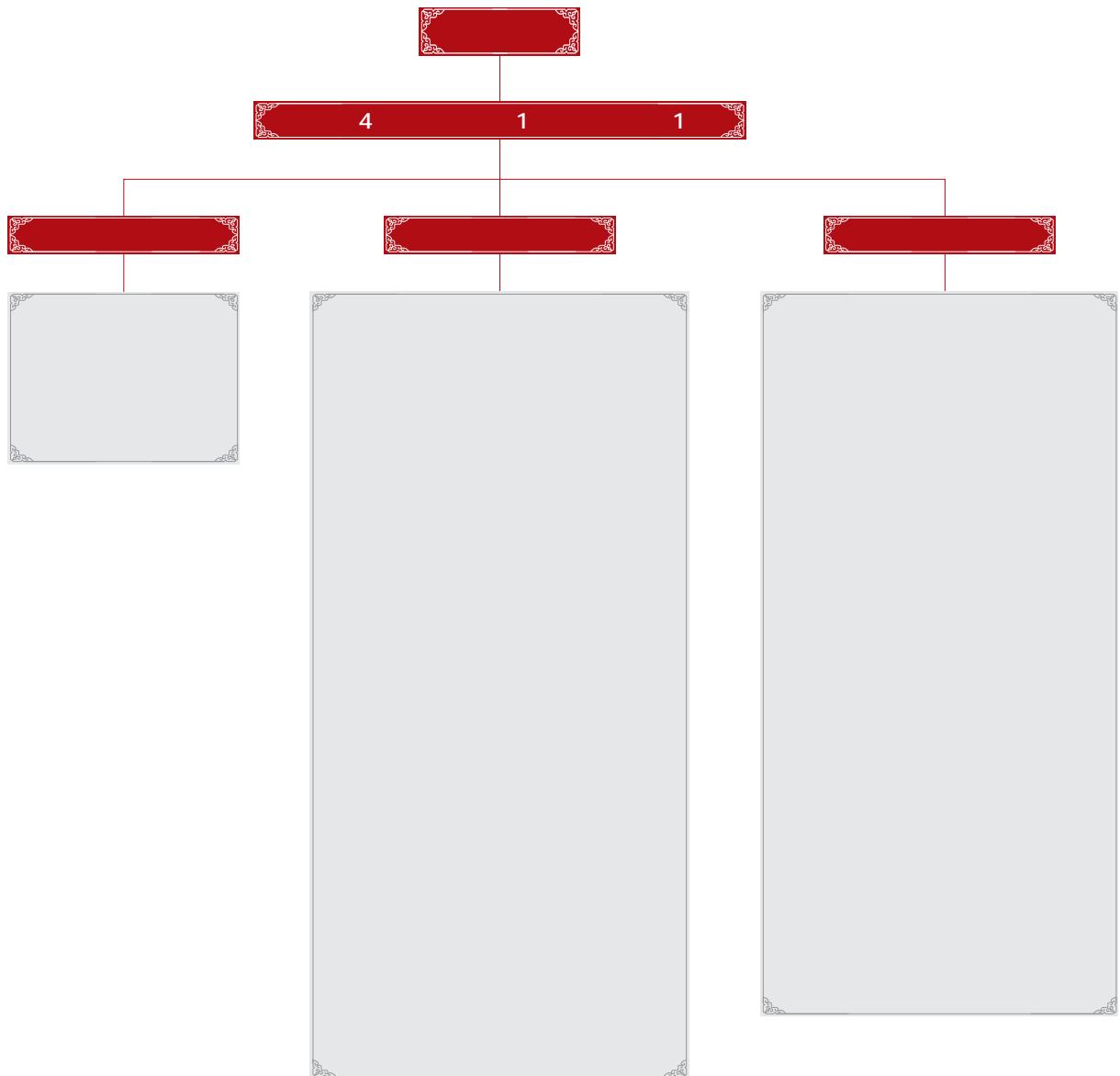
74 80% 163 90%
7.04 31



2014

2014





1 - 1

S' #&

2004 6

1 22

1-1 2

1-1

Howard DAVIES

Laura M. CHA

Thaddeus T. BECZAK

Zhiwu CHEN

Linin DAY

Peter J. DEY

Jane DIPLOCK ;AE5A

William DONALDSON

Arminio FRAGA 9y hW;`hWL_Wfae

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Hasung JANG

Reuben JEFFERY

Henry R. KRAVIS ==D

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Anthony F. NEOH

Michel PRADA

;AE5A

Atsushi SAITO

Andrew SHENG

John L. THORNTON

John S. WADSWORTH

Jiang WANG

? ;F

Weiguo ZHANG

Eugene ZHENG

Zhonghui ZHOU



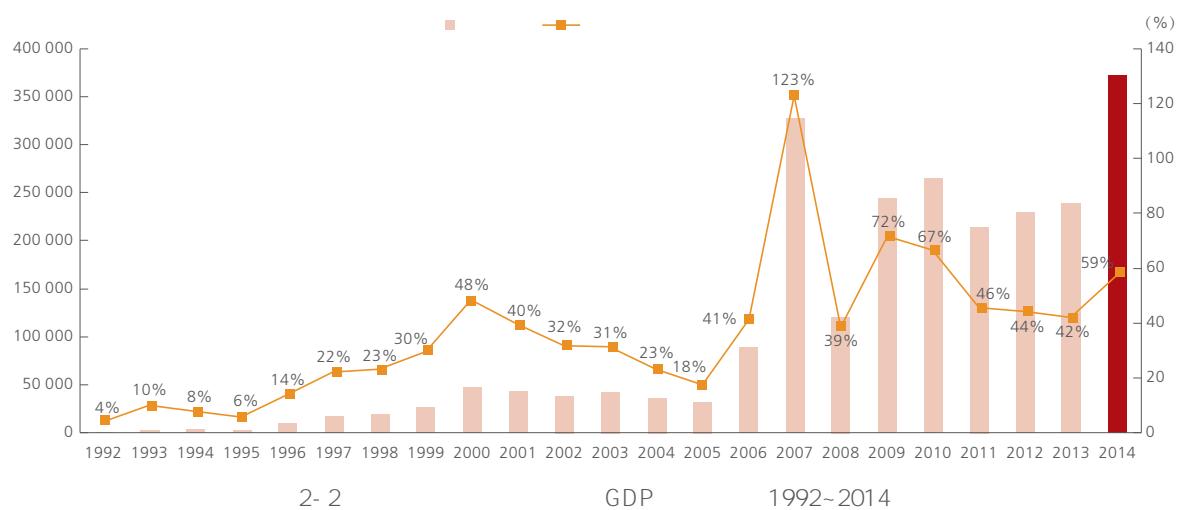
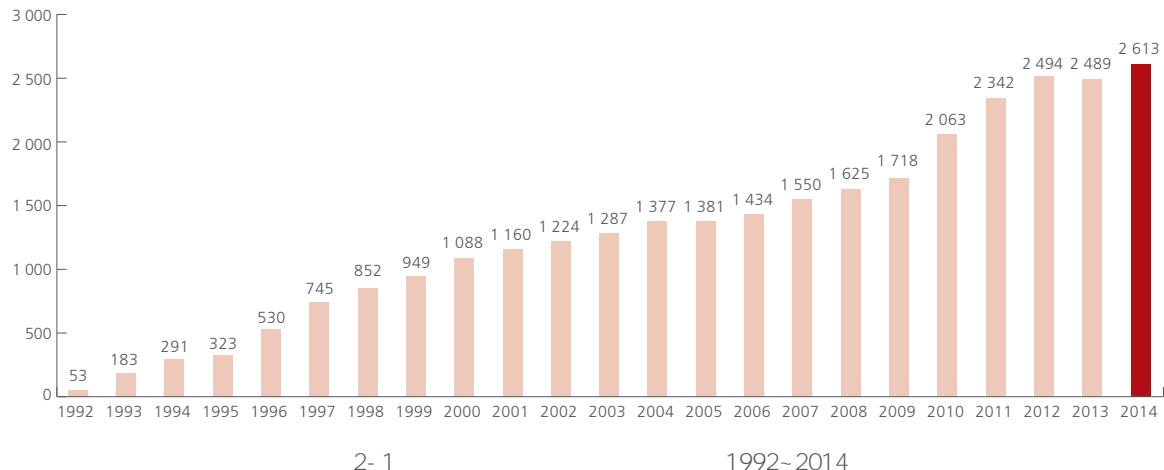
2014
769
24.3% 75.7%
36.4
3 167
2 398

市场概览



37.25

	37.25			
2014	1 475	2 613	1.24	2014
2-1		732	GDP	58.53%
				2-2
				55.83%



2- 1

2014

1		263 306	1		193 514
2		60 049	2		69 792
3		43 780	3		43 780
4		40 129	4		40 129
5		33 191	5		39 325
6		32 330	6		33 191
7		20 937	7		32 330
8		17 385	8		20 937
9		15 583	9		20 724
10		14 953	10		17 385

1 572

2014

1 572

4 591.42

2-2

1 216

30

18

78%

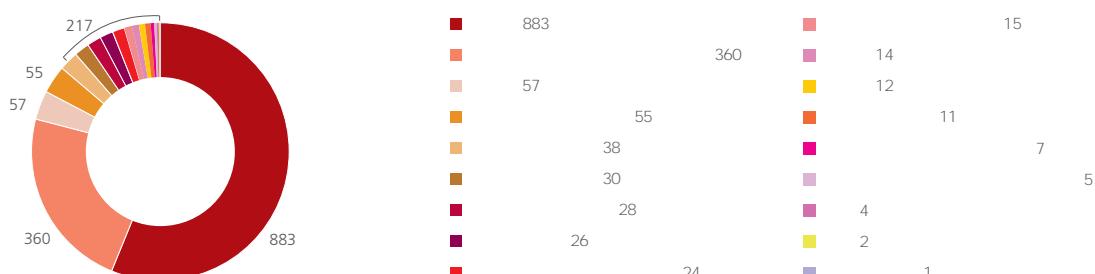
2014

8

2- 2

	2013	2014	%
356		1 572	341.57
156		1 216	689.74
553.06		4 591.42	730.18
60		329	448.33
10.02		132.09	1 197.30
2.02		22.82	1 029.70
8.14		130.36	1 501.47

挂牌公司家数

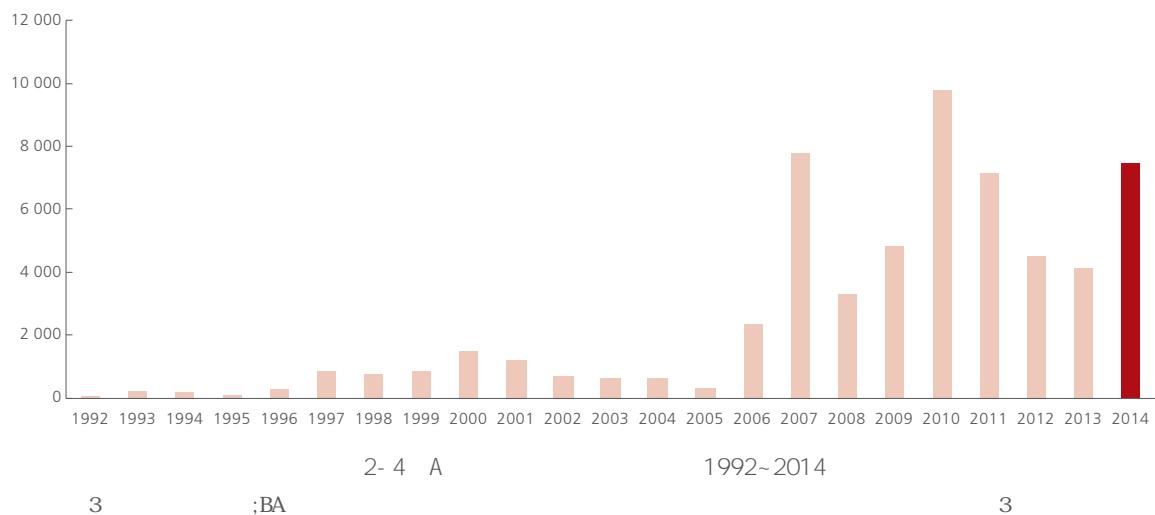


2- 3

#(

2014	758	A
	7 468.47	2-4
80.05%	668.90	
3.65		4 023.51
	2 634.43	
137.98		63.93%

2014	289
329	132.09
13	4 490
64	42.19

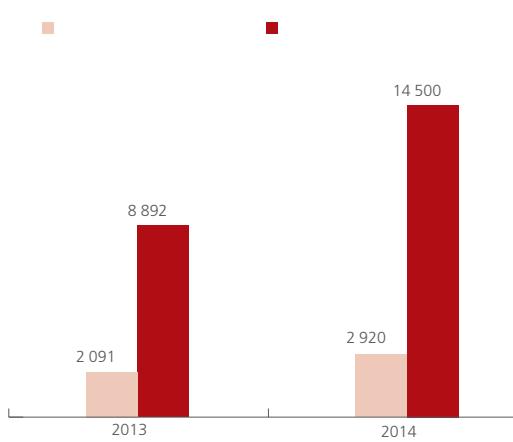


1.45

2014

2920

1.45	2–5	40%	63%
125			
535			
	77%	2–6	
		1 923	
66%			
777		1.9	
	50%		
		75%	



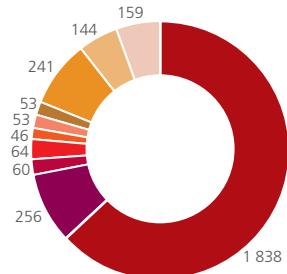
2014
43.88
17.22
16
4

1.25

1.25



2014
52.87%
2-7 1~6 3.20%
3.70% 7



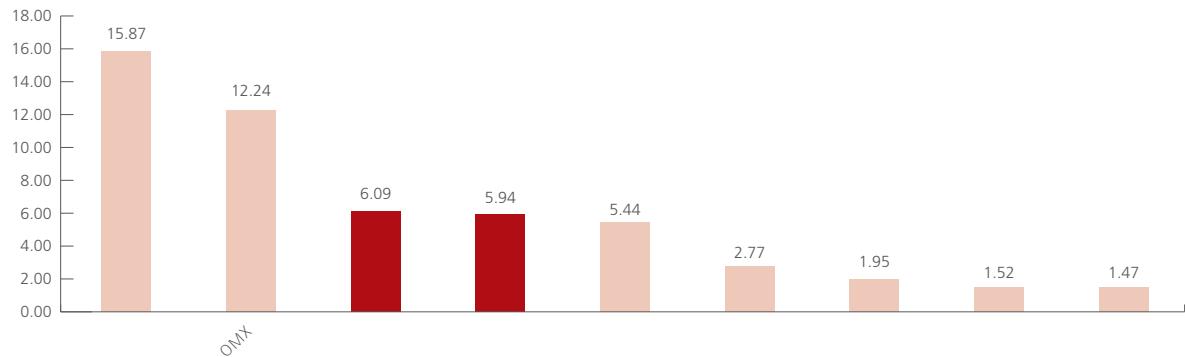
11~12
33.65% 2014
3 036.38 2013 1 066.93
54.17% 2-8 2013
50.17% 88.84%
1.25

2- 6 2014



2- 7 2014

I [V



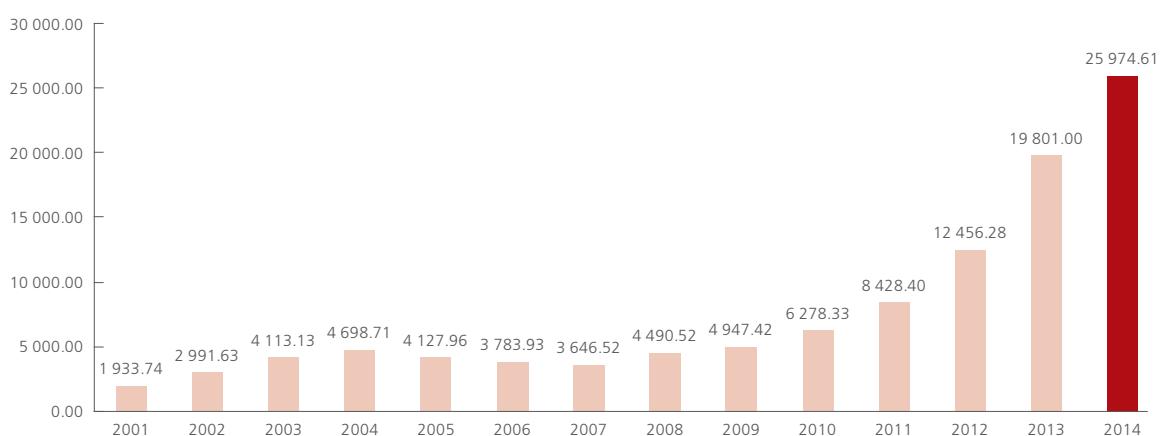
2- 8 2014

2-9	31.18%
3 034	49%
189	3
1 503	30
613	2
25 975	31%
26 584	36%

2.60

2014	2.60	515	4 147.33
		2 637.23	185

2014



2- 9

2 001.18	13	320.99				
300.55		500.35				
313	532.09	495.85	2014			28 089.79
3	300	300	2-3			61.56%
1	40	40	90.72			37.24%

2- 3 2014

	2014	2013	%
	1 260.27	804.25	56.70
	12 511.63	6 602.34	89.50
	5 135.89	4 029.95	27.44
	265.88	597.04	-55.47
	7 972.97	4 960.13	60.74
	613.24	387.85	58.11
	243.88	—	—
	22.78	—	—
	63.25	4.80	1 217.71
	28 089.79	17 386.36	61.56

21 295

21 295

2014

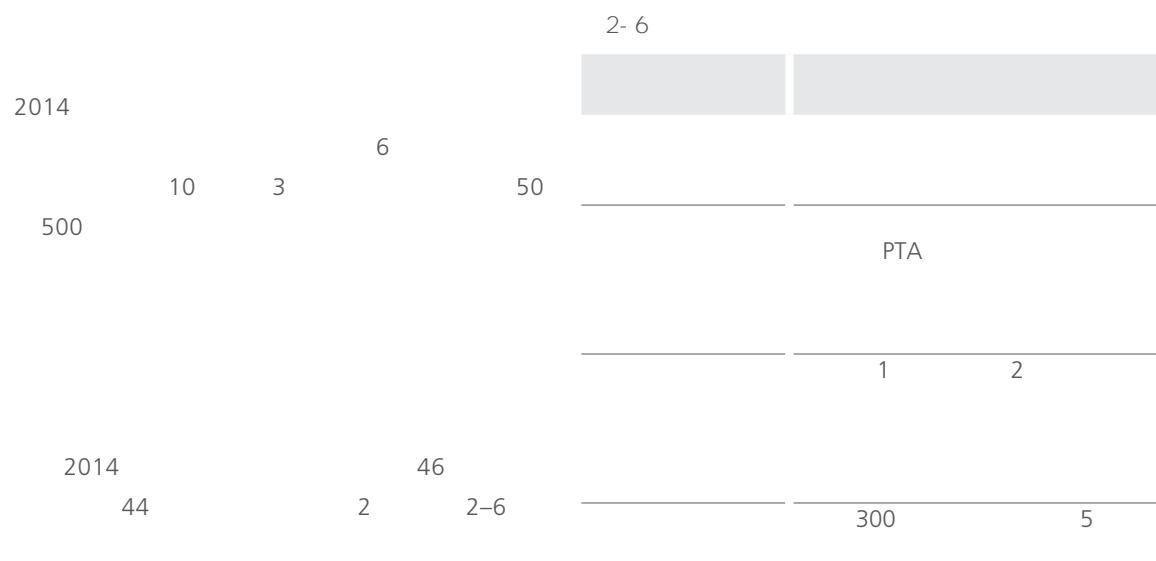
4 955			
59%	29%		
9%	3%	7 665	
		50%	
		35%	
9%	6%	21 295	
		60%	
		23%	
7%	10%	2-4	

2- 4

	%	%	%	%	
1 438	29	3 825	50	4 888	23
2 903	59	2 699	35	12 745	60
463	9	718	9	1 548	7
151	3	423	6	2 114	10
4 955	100	7 665	100	21 295	100

2014 8 18

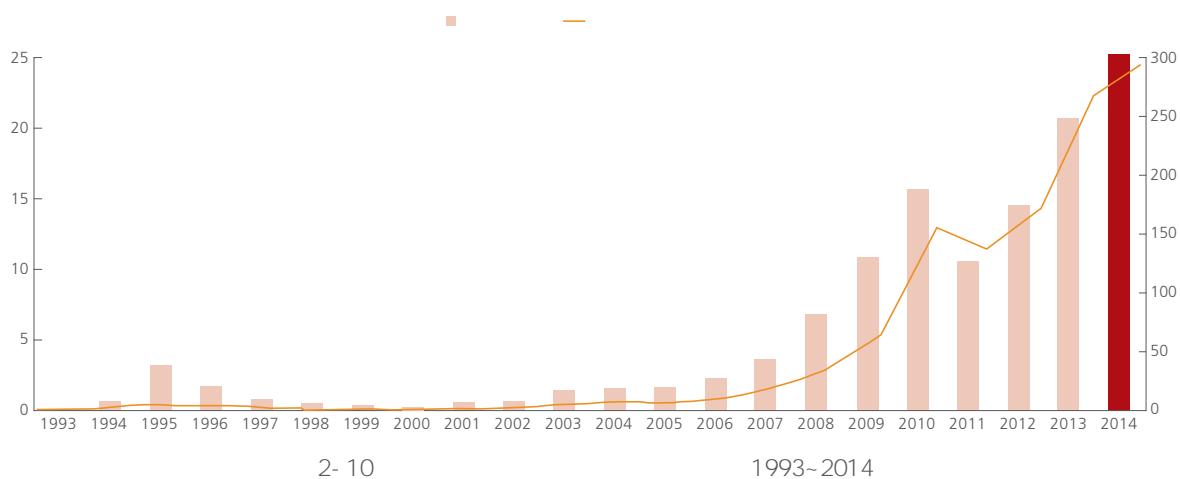
2014				2014	
94%	2-5		7.95	60	
		12.92			
			1.22		
			3.74	185.89	
		124.82			
		2014			
2014	42		29	823	
	19	2 655		1 648.7	966
1 478		20.87			
2- 5					
		2014	2013		%
		79 463.00	52 059.00		53
		12 240.00	4 739.00		158
		37 390.00	9 707.00		285
		124.82	12.6		891



25.06

25.06 2-10 21.54% 2.18 8.68% 25.06 291.99
 9.16% 164.02 56.17%

2014



(LLDPE)

17

60%

70

2014

2014

14 214.68

7.30%

A

949.90

93.35%

A

14.22%

2-7

0.55

2

17

A

25.03%

2.23

60.75%

2.78

2- 7

2014

A

				QFII (%)						(%)
	(%)	(%)	(%)	RQFII (%)	(%)	(%)	(%)			
2014 1	6.52	0.28	1.25	1.65	3.12	1.24	0.12	0.33	0.30	
2014 2	6.12	0.27	1.18	1.59	3.03	1.22	0.11	0.30	0.26	
2014 3	5.73	0.30	1.19	1.58	3.04	1.22	0.09	0.31	0.24	
2014 4	5.59	0.39	1.20	1.65	3.08	1.25	0.09	0.33	0.26	
2014 5	5.52	0.45	1.18	1.68	3.05	1.26	0.09	0.37	0.26	
2014 6	5.61	0.48	1.19	1.74	2.98	1.27	0.10	0.42	0.26	
2014 7	5.61	0.52	1.22	1.89	3.07	1.29	0.11	0.40	0.27	
2014 8	5.45	0.53	1.19	1.91	3.05	1.33	0.11	0.36	0.25	
2014 9	5.24	0.54	1.15	1.83	2.88	1.39	0.12	0.37	0.27	
2014 10	5.03	0.58	1.15	1.82	2.89	1.45	0.13	0.30	0.27	
2014 11	4.91	0.65	1.14	1.79	3.21	1.54	0.16	0.32	0.26	
2014 12	4.79	0.61	1.17	1.71	3.87	1.37	0.14	0.31	0.23	

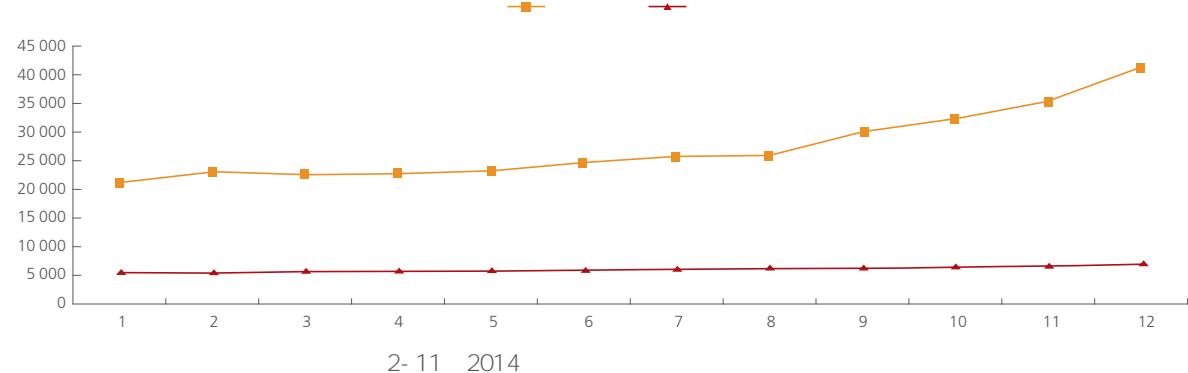
\\$" #& "#'

2014	74.39			
58.71%				
12.15%	85.37%			2014
2.37%	0.11%	2014	129 631.32	371 539.82
A 1 037.72	A	248.80%	0.11%	
10 601.99	A 10 249.97		108.5	475.5
A 685.70		165.92%	3.05%	
		18.58%	2-8	

2- 8

					()
2009	18 661.10	196 091.89	118 290	1 182 160	
2010	26 292.50	286 378.17	215 770	2 869 850	
2011	20 454.14	178 412.56	210 506	2 416 945	
2012	26 910.32	262 797.66	246 171	3 171 107	
2013	37 164.99	371 965.38	407 990.80	4 904 255.10	
2014	129 631.32	371 539.82	1 084 927.79	4 754 836.72	

2014	120		40 921		248 654	
9 205		6 792		11 135		81 660
2 603	97%	22%	30%	64%	2014	95
2-11		980		73		
710		310		1 020.65		657.56
124	284		812	6.68		57.84%
	446			4.54		1 899
14		90		2-9		12 240
262	528		195	6 085		2 974
	341 449		62%			

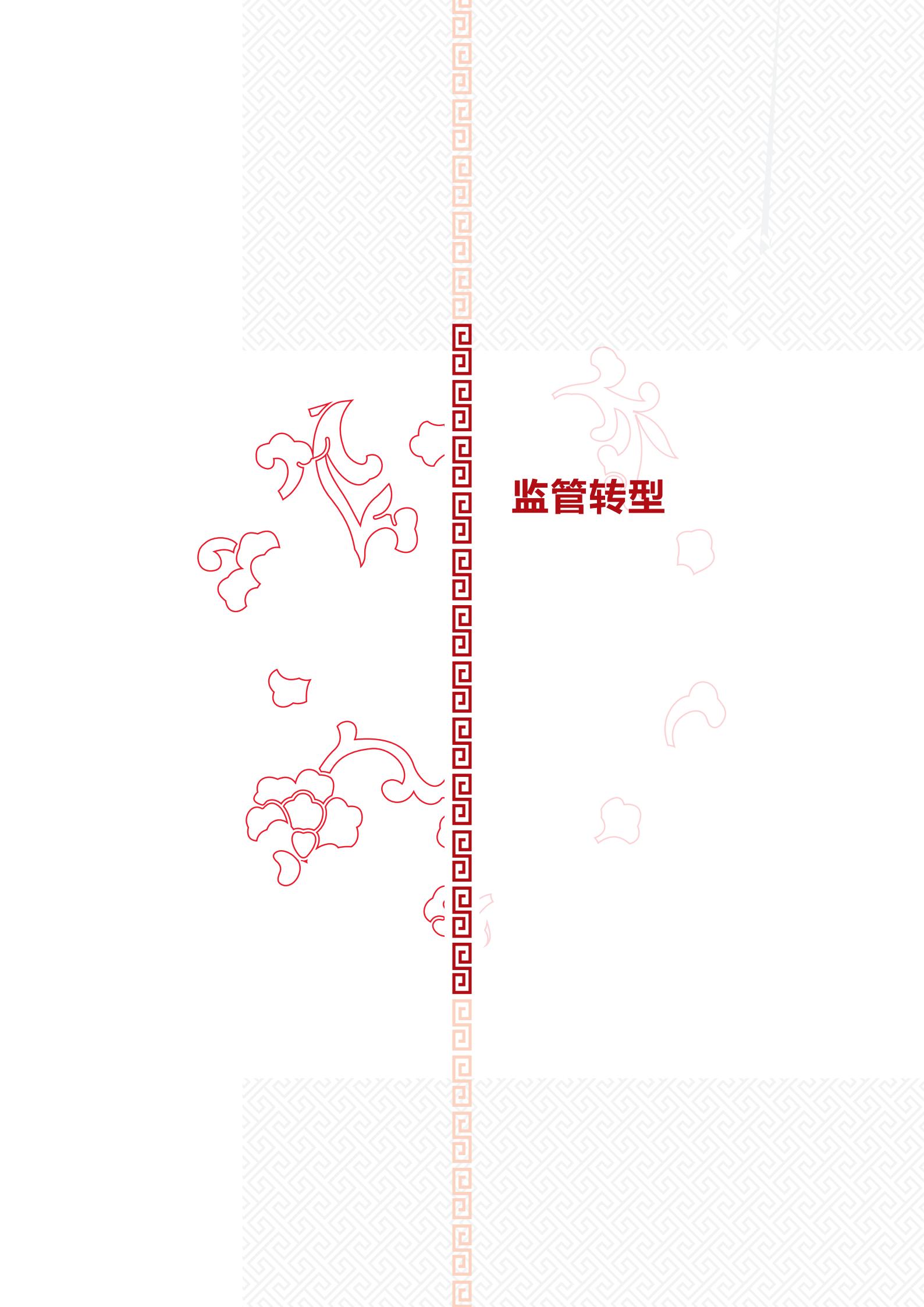


A horizontal bar chart titled "2014" at the top center. The x-axis represents billions of US dollars, with labels at 135, 699, 395, 171, 409, and 90. The y-axis categories are listed vertically on the left: "2- 9", "QDII", "Equity", "Debt", "Mortgage", "Hedge", "Other", and "Total". Each category has a corresponding gray bar extending from the y-axis label to the 409 mark on the x-axis.

Category	Assets Under Management (Billions of US Dollars)
2- 9	135
QDII	699
Equity	395
Debt	171
Mortgage	409
Hedge	90
Total	1,314

2014	153		2014	84	21.14
		728.76		36.46	23.42
433.51	619.98	481.25	18.79	0.79	
	190.20	41.52			

\$" #& #\$ #\$" #& #\$



监管转型

2014



5 2014 " 3

2014 3

13

"

"

"

" "

" "

1 9
2014 5

21
2014 "

"

668.89

668.89

" 3
"

11 6

2014	125		
43	82	31	51
	668.89	5.35	

III

3

11

5 2 6

100% 98%
81.1% 80.8% 3-1
" " " e "

		2014
2014	2 801	263
	403	278
		27

415

2 —

9

74 76%



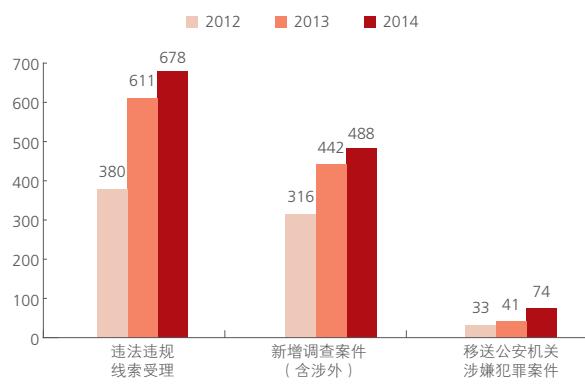
2014	A	79
31	48	3-3
2014	*ST	4



488

488

678 11%
10.4% 3-4



163

		163	
2014		163	90%
	158		4.7
7.04	2013	2.8	
18	31		10
3-1	3-2)		

" "

3-5



\$' #'' #S #&
\$' ## ## %

;BA

;BA

\$' #& ##

* \$\$

;BA

;BA

3- 1

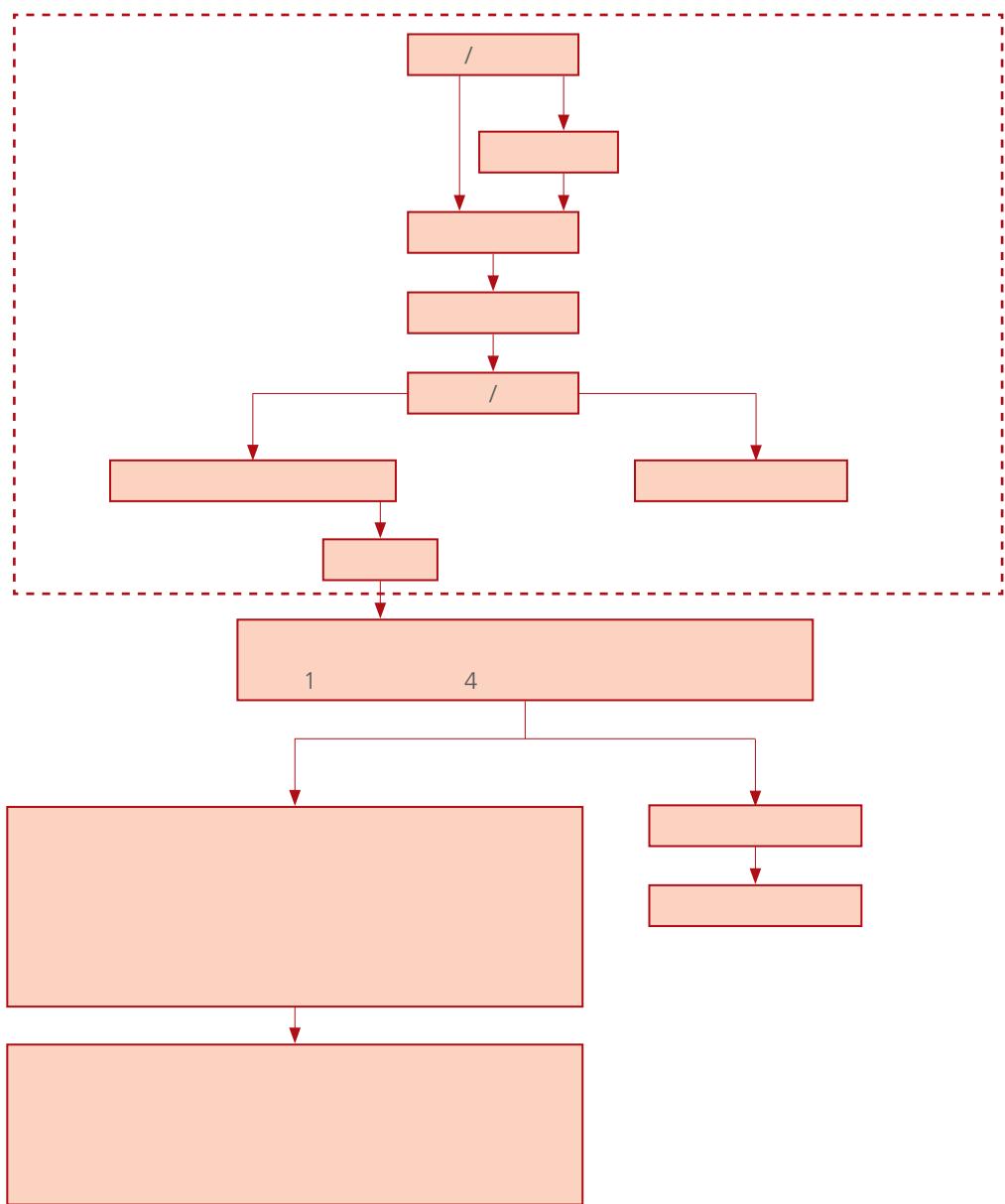
2012~2014

	2012	32	30	10	5	77
2013	23		51	8	4	86
2014	36		69	15	43	163

3- 2

2012~2014

	2012	56	8	4.37
2013	79		21	7.28
2014	158		18	4.7



2014

391

2014

10

4



219

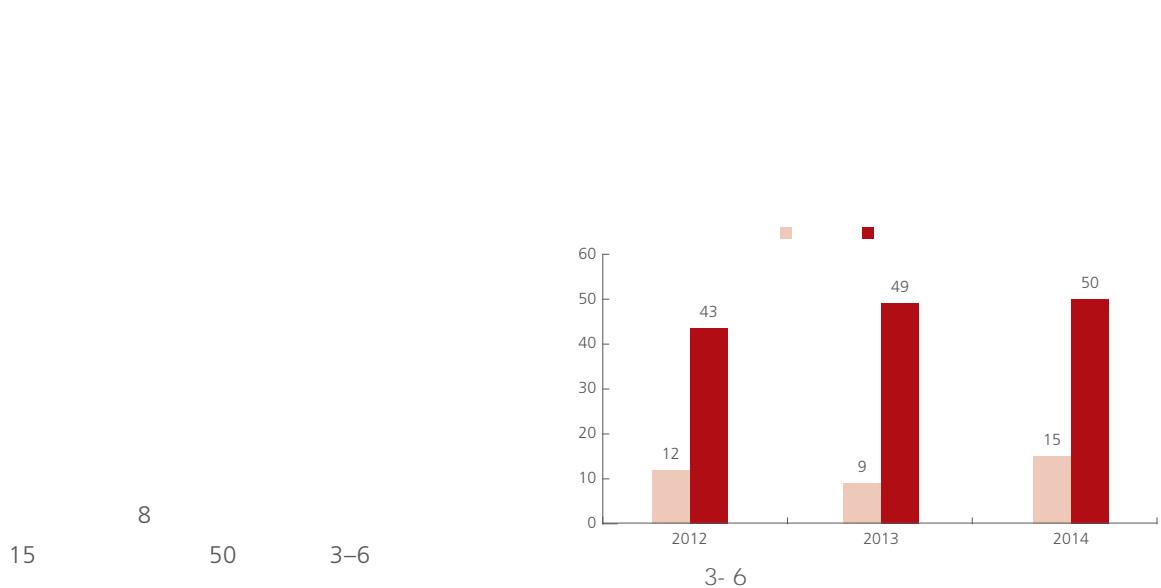
111

115

"
2 250
20
278



2014



3

5

2014 1.45
62.2 6.95 3-3

3- 3

(IOSCO)







2014



IPO

159.46

159.46

2014

9

" " /

159.46	2014	51	58	251	3	191
5 000	1		/	2		

90%

90%

2014

200

20

90%

XBRL

24

322

2014 5

1

26.31

300

7



2014

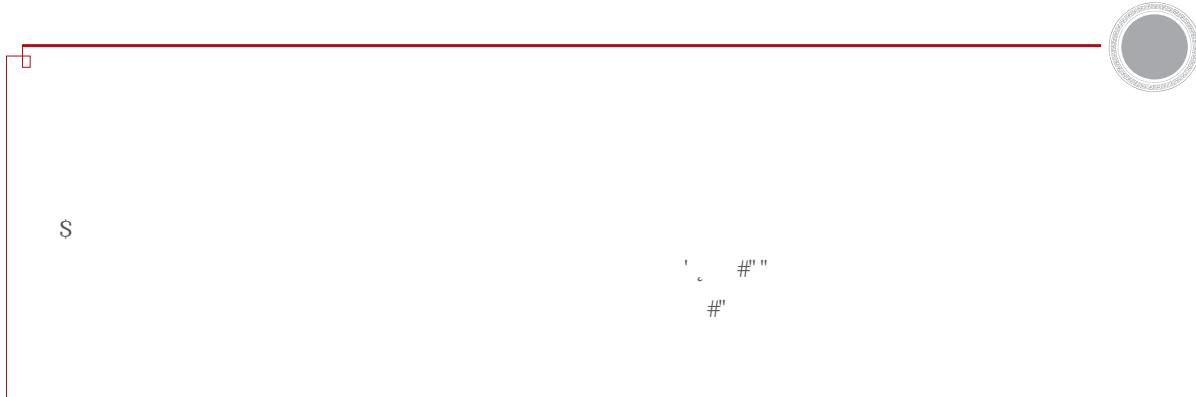
130.36

5 299.19

15

109.17

24 999.14 21.19



2014

10



S' #&

%%

&S' ''

#*' ''

S&%

1 055

1 055

2014 3

"
"

200

9

2014

6

1 055



40
2014
1 848

670

2014

IPO



1 700

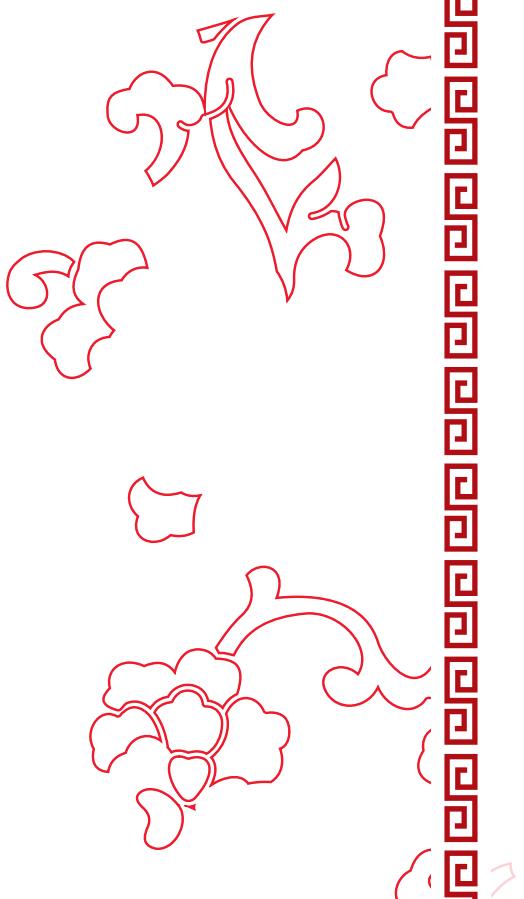
2014 6 4 1 20%
2014 8 1

2014
2 300

500

— —
“ ”





投资者保护



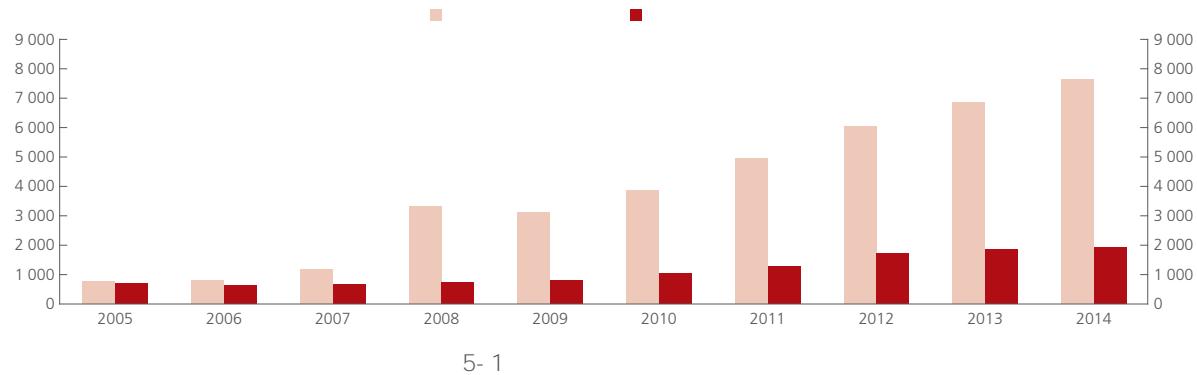
2014



7 638.62

7 638.62

2014	1 914	73.2%	7 638.62
		11.8%	5-1



2014

108

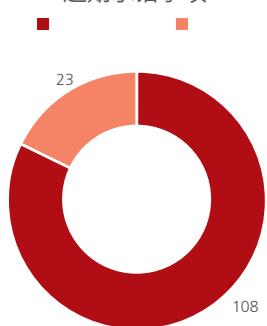
213

90%

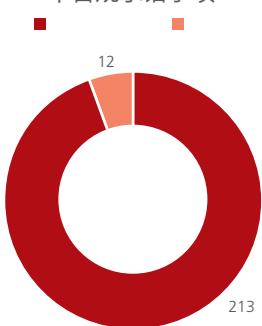
33

5-2

超期承诺事项



不合规承诺事项



5- 2

1 007

934

93%

125

74

2014

235

1 008

1 008

2014

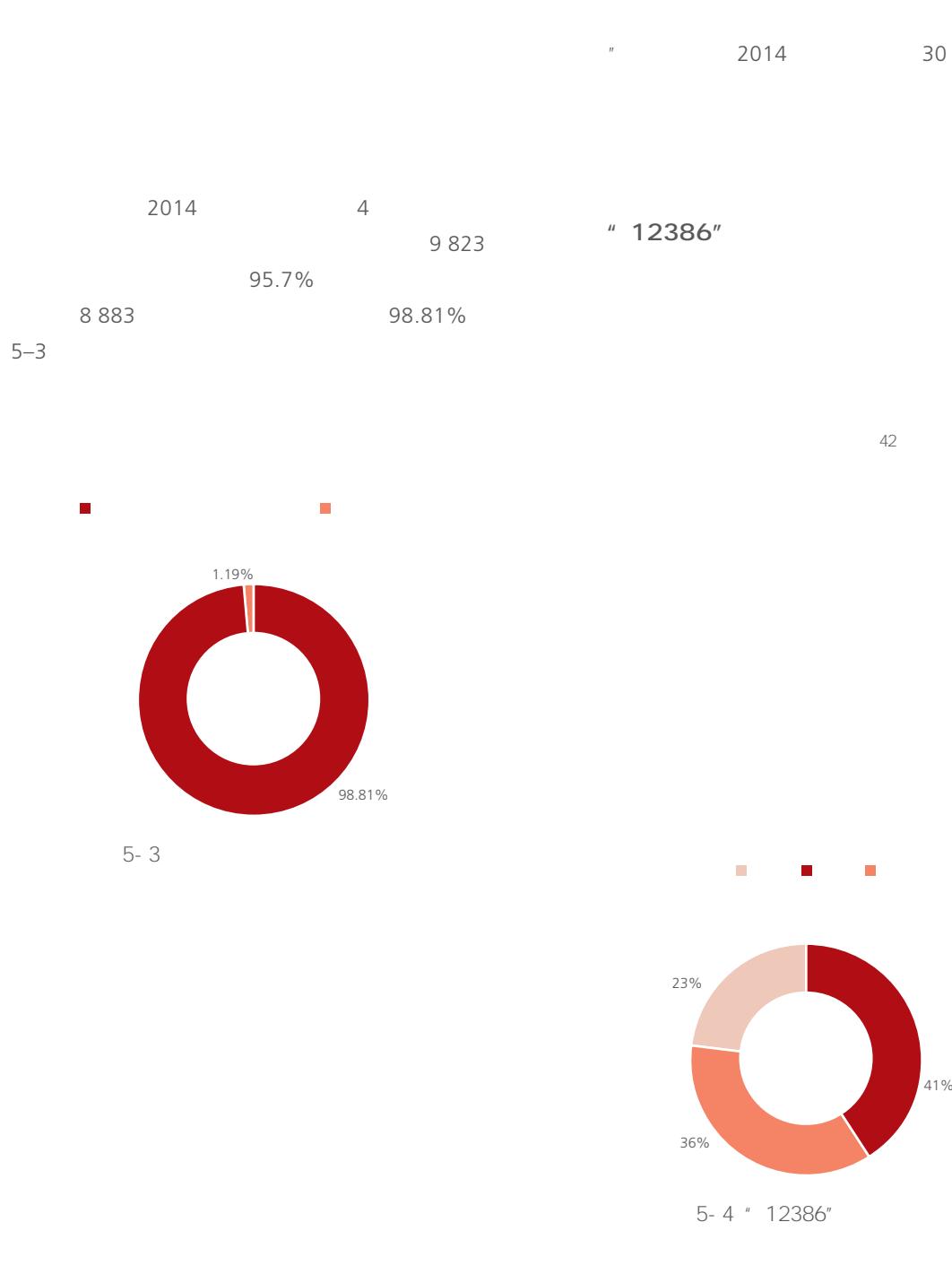
15

3

2014

87

71



200

3 000

1 200

对外开放



2014

B H
(RQFII) (QFII)



2014 4

2014 11

11 17

2014

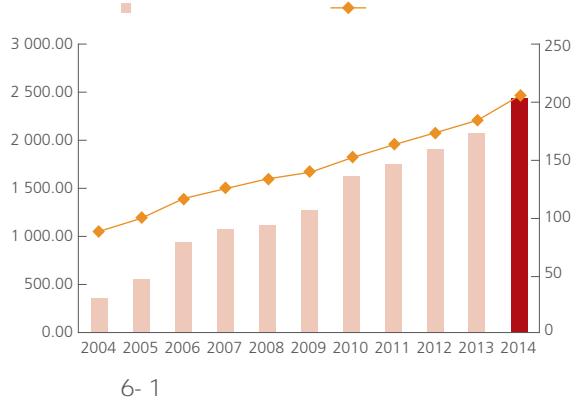
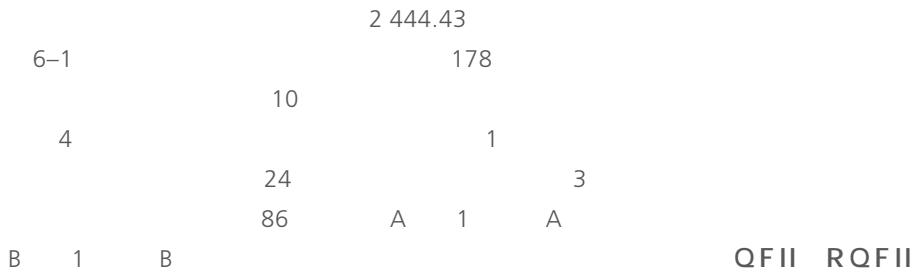
1 880.75

1 675.12

205.63

u n

2014 205



8200

RQFII 8200

RQFII

RQFII

QFII RQFII

QFII

OEII



65 56.4
2014 120

B H

B

2014

5

II II II

13

4

5

23
22
2014 12 29 QFII 4

2014

CEPA 26 RQFII

1 A MSCI

" " 2014 MSCI
A

50%

CEPA

CEPA

IOSCO

2014 12 2014 9
(IOSCO) 39

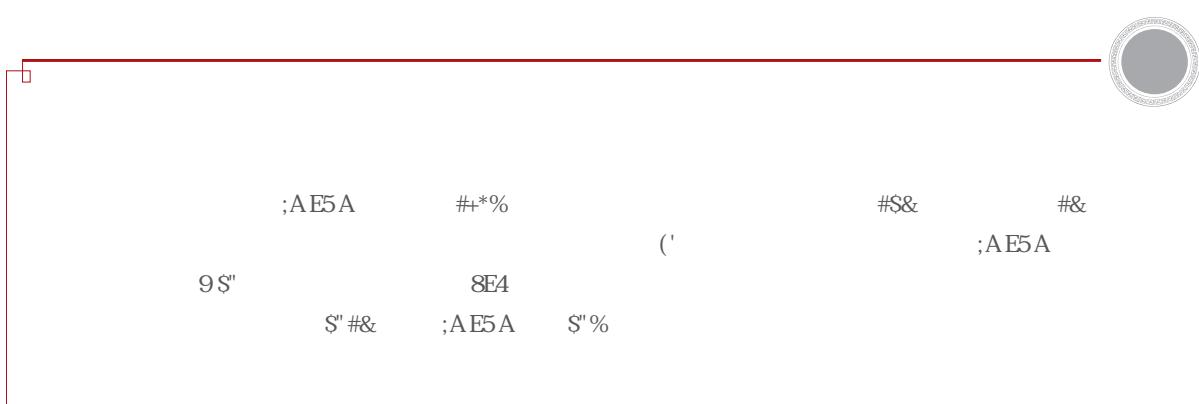
QFII

IOSCO

2014

3

2014~2015



2007	IOSCO	2014	97
		69	13



2014	4
2014	55
	59

(CPMI) IOSCO
 FMI
CPMI-IOSCO FMI
 FMI G

33	—	• 2014 5 29
34	—	• 2014 6 7
• 2014 4 9		2006
• 2014 4 10		2012
• 2014 4 10		3 —
9		2013
• 2014 4 18	16	13 —
		15 —
• 2014 4 25	9	17 —
• 2014 4 25		26 —
• 2014 5 19		• 2014 6 9
		• 2014 6 13
• 2014 5 19		• 2014 6 13
		28 —
• 2014 5 29		2014
• 2014 5 29	35	29 —
		2014
• 2014 6 13	36	37 —

" "

- 2014 6 13
- 2014 8 21
- 2014 6 13
- 2014 8 25
- 2014 9 1
- 2014 6 20
RQFII
- 2014 6 20
RQFII
- 2014 9 5
- 2014 6 27
- 2014 9 16
- 2014 6 27
- 2014 9 19
- 7 --
- 2014 7 4
- 8 --
- 2014 7 7
- 2014 9 24
- 2014 7 18
RQFII
- 2014 10 15
RQFII
- 2014 7 21
- 2014 9 24
- 2014 10 17
- 2014 7 25
- 2014 10 24
- 2014 8 8
" "
- 2014 10 24
"

- 2014 10 24
- 2014 11 19
2014
- 2014 11 21
- 2014 10 24
- 2014 11 21
- 2014 10 25
- 2014 11 22
2014
- 2014 12 4
- 2014 11 6
- 2014 12 8
- 2014 11 6
- 2014 11 12
- 2014 12 11
- 2014 12 12
- 2014 11 14
- 2014 12 12
- 2014 11 14
- 2014 12 19
- 2014 11 14
- 2014 12 19
- QFII RQFII
- 2014 12 25
- QFII RQFII

1 ——
ETF

• 2014 12 26

• 2014 12 26

15 ——

2014

• 2014 12 27

"

"

2 2014

			2		2013
			2014	1	3
1		2014 3 21	3	—	[2014]2
2	97		4	2014 1 6	2014
2	2014 3 21	98	5		[2014]3
3	2014 5 14	99	6	2014 2 12	2014 1 12
4	5 14	100	7	2 21	[2014]4
5	2014 6 13	101	8		[2014]8
6		2014 6 23	9	32 —	3 2014
7	102		10		[2014]10
7	2014 6 23	2014	11	2014 3 21	
8	103	2014 7	12	32 —	2014 4 1
9	7	104	13		[2014]12
9		2014 8 21	14	33 —	
10	105		15	2014 4 1	[2014]13
10	2014 9 5	106	16	34 —	2014 4 1
11			17		[2014]14
11	2014 10 15	107	18	2014	2014 4 3
12	2014 10 23	108	19		[2014]12
13	109	2014 10 23	20	2014	2014 4 20
14		2014 10 29	21		[2014]15
15	110		22	2014 4 24	[2014]127
15		2014 12 8	23	2014	2014 5 28
111			24		[2014]19
1	—		25	2014	2014 5
1	—		26	28	[2014]20
1	1 3	[2014]1	27	2014 5 28	2014
1			28		[2014]21

17			30		5
3	--	2014	--		
2014	5	28	[2014]22	2014	6
18			13	31	23
--		2014	6	--	2014
2014	5	28	[2014]23		23
19			32		
15	--	2014	2014		
5	28	[2014]24			2014
20			27		6
16	--	2014	33		
2014	5	28	[2014]25	2014	7
21			36		
17	--	2014	2014		2014
5	28	[2014]26	34	8	
22			35	14	
26	--	2014			
2014	5	28	[2014]	2014	8
27			41	14	
23			36		
		2014	6	29	
		[2014]72		2014	
24			40		
28	--	2014	37		
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2014		2014	
995	1 039	243 974.02	
	220 495.87		12
27 085.17	24 914.59		
91.99%		2014	203
021-68808888		149	54
021-68804868		1155	
webmaster@secure.sse.com.cn	63.24		
www.sse.com.cn		21.66%	8.42
528	(200120)	33.61%	
		021-68400000	
		021-68401198	
		info@shfe.com.cn	
		www.shfe.com.cn	
	1990 12		
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2014		2014	
1 657	128 573	4	12
95 128	9 710		
7 375	76%		
0755-88668888		2014	
0755-82083947			
cis@szse.cn			
www.szse.cn		16	
		2012	2014
(518038)		240	198
		2014	100.7
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39%	6.8	9 8		
28.8%	23.2	23%	2014	30
1.08				
2014				
6 827	34%			
23%	16%			
0371-65610069		2014		300
0371-65613068	5		2014	300
czce@czce.com.cn		2.17		163.14
www.czce.com.cn			92.29	8 785.17
	30		021-50160666	
(450018)			021-50160606	
			rd@cffex.com.cn	
			www.cffex.com.cn	
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0411-84808888				
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office@dce.com.cn				
www.dce.com.cn	B H			
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010-66210988		
010-66210938		
zbshi@chinaclear.com.cn		
www.chinaclear.cn		
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	010-63211601	
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	www.csf.com.cn	
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	225.205	
	252.631	
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010-66580616		
lixiang@sipf.com.cn	2014	82.26
www.sipf.com.cn		2.74
	79.52	
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	010-66555088	
	010-66555038	
	cfmmc@cfmmc.com	
	www.cfmmc.com	
2011 10 28	5	B
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		info@neeq.org.cn	
		www.neeq.com.cn	
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010-63889001			
010-63889062	2014		869
cmsgc@cmsmc.cn		120	
www.cmsmc.cn		668	
	26	81	
(100032)		010-66575800	
		010-66575827	
		bgs@sac.net.cn	
		www.sac.net.cn	
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010-88087239			2014	737
010-88087060			95	53
cfa@cfachina.org			254	
www.cfachina.org			90 QFII	59
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C 8 (100140)			186	4 955
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office@capco.org.cn				
www.capco.org.cn				
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			010-56088542	
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			contact@bisf.cn	
			www.bisf.cn	
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010-83141991

zbs@csits.org.cn

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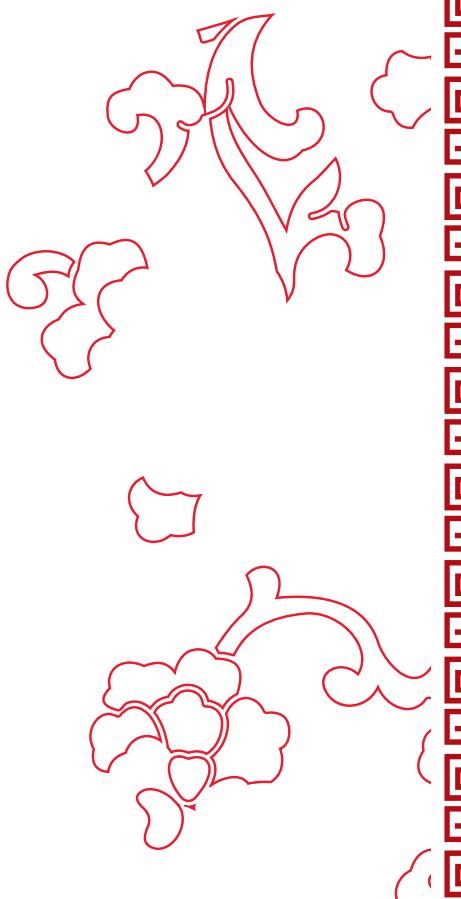
021-50496312

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	12 578.91	19 759.53	25 642.03	28 850.26	31 339.60	36 744.16	39 104.28		
	121 366.44	243 939.12	265 422.59	214 758.10	230 357.62	239 077.19	372 546.96		
	45 213.9	151 258.65	193 110.41	164 921.30	181 658.26	199 579.54	315 624.31		
	267 112.64	535 986.74	545 633.54	421 649.73	314 667.41	468 728.60	743 912.98		
	1 820.81	3 277.14	2 808.08	2 199.42	2 269.13	2 115.98	3 234.68		
	553.30	1 201.34	1 290.87	866.65	881.17	1 057.67	1 415.19		
	10 449.69	12 037.69	13 391.04	14 050.37	14 045.91	13 247.15	14 214.68		
	28 884.94	40 635.06	76 011.5	216 349.51	403 426.49	678 404.56	935 256.04		
	439	557	704	914	1 173	1 552	1 897		
	25 741.25	24 535.89	25 200.75	26 510.37	31 708.41	31 180.69	42 011.99		
	5 831.06	10 249.58	8 996.43	6 365.80	8 667.36	12 562.04	19 904.62		
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9	1997	11	13
10	1998	3	4
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14	2001	6	19
15	2002	1	18
16	2002	6	27
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<http://e.t.qq.com/csrcfabu>



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