



中国证监会
CSRC

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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打击盗版举报热线 : 010 - 88190492

Contents

	6
	8
	9
	11
	11
	14
	18
	19
	20
	21
	23
	26
	26
	27
	29
	29
	32
	32
	34
	34



	38
	38
	39
	39
	41
	42
	46
	46
	47
	48
	48
	52
	52
	53
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	54
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	55

1	2014	58
2	2014	63
3		66

1	2008-2014	74
2		75
3		78
4		81
5		84
6		92
7		92
8		96
9		98
10		98



主席致辞



46
2014

6

2014

" 12386"

95%

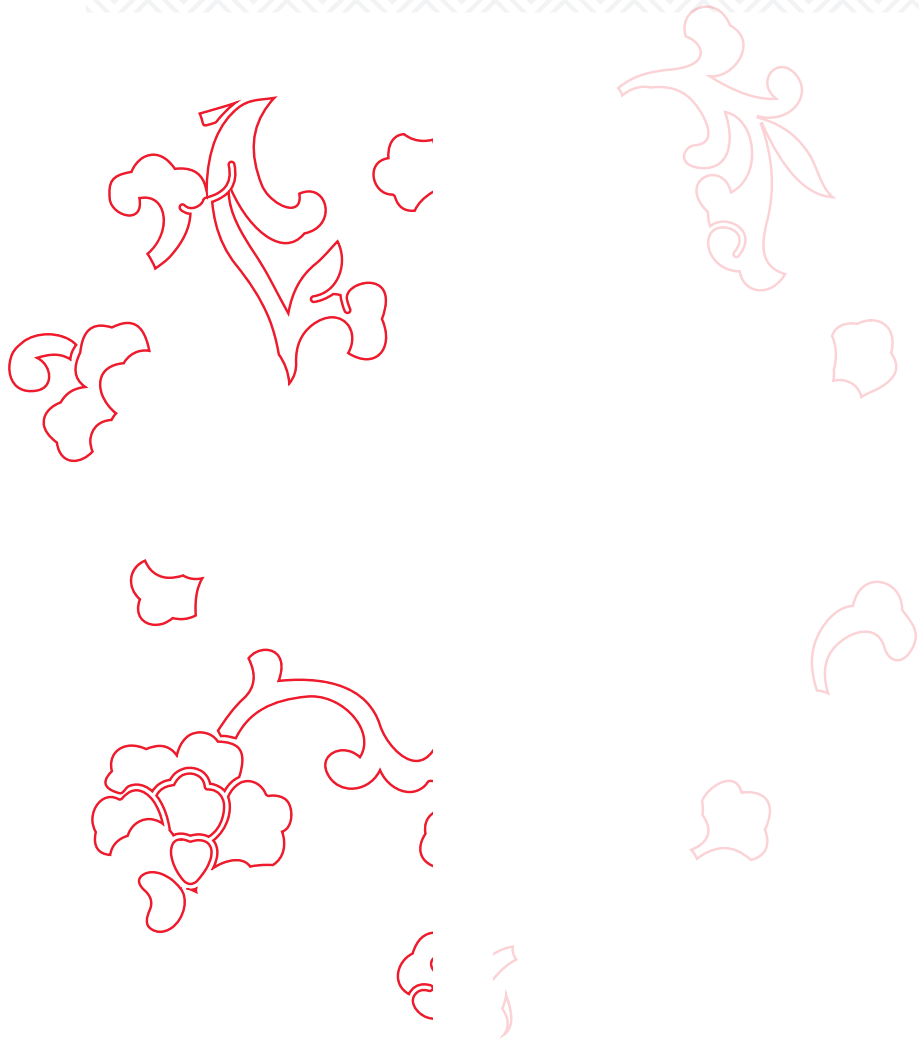
2014

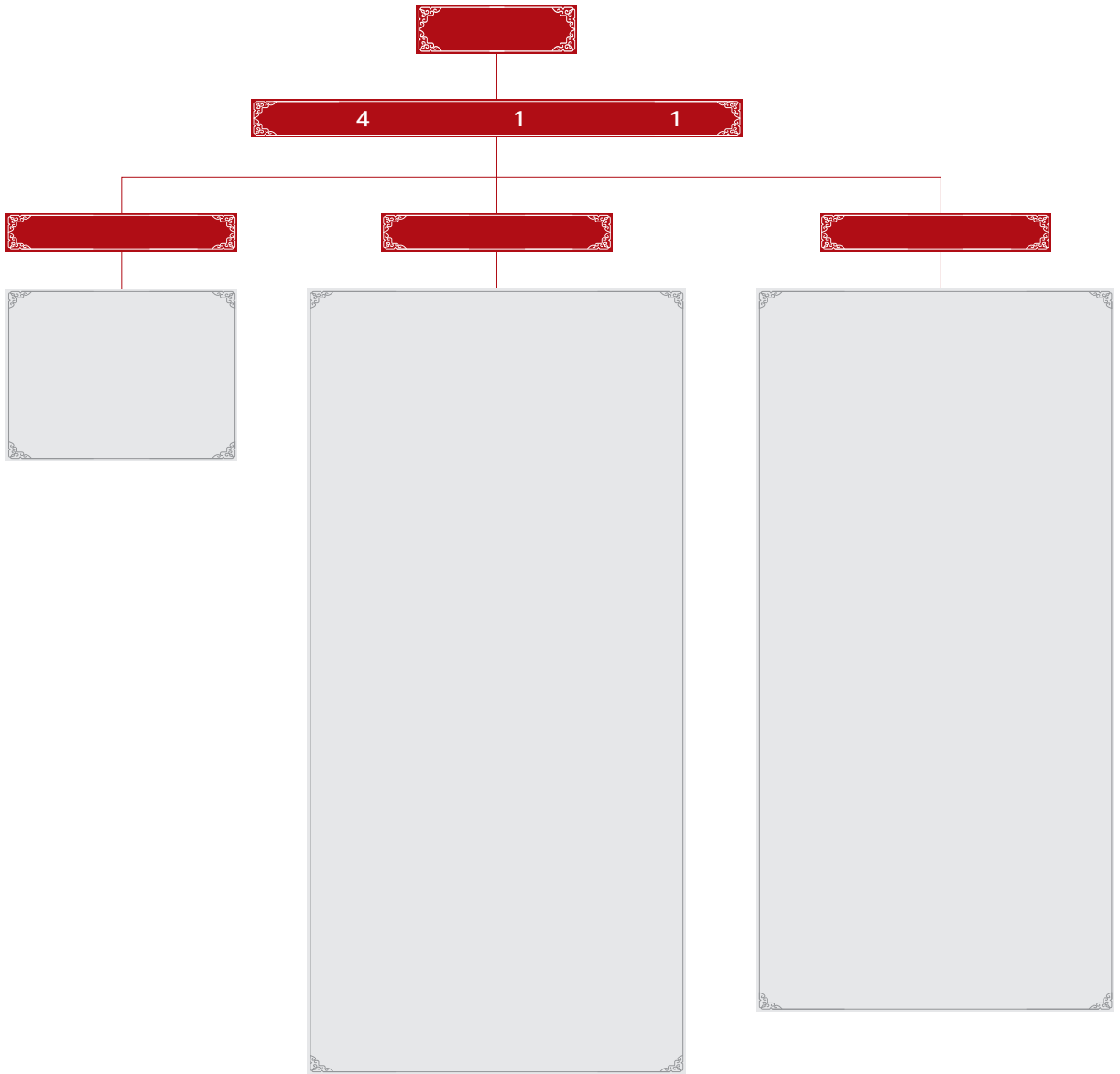
74 80% 163 90%
7.04 31



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; hW L Wfae

Ching HO

Hasung JANG

Reuben JEFFERY

Henry R. KRAVIS

==D

·	Leo MELAMED	
	Anthony F. NEOH	
·	Michel PRADA	;AE5A
	A tsushi SAITO	
	Andrew SHENG	
·	John L. THORNTON	
·	John S. WADSWORTH	
	Jiang WANG	? ;F
	Weiguo ZHANG	
	Eugene ZHENG	
	Zhonghui ZHOU	



2014 769 2 398 3 167

24.3% 75.7%

36.4



市场概览

37.25

37.25

406

124

37.25

2-1

55.83%

31.56

58.14%

84.72%

2014

2 613

1.24

2014

2-1

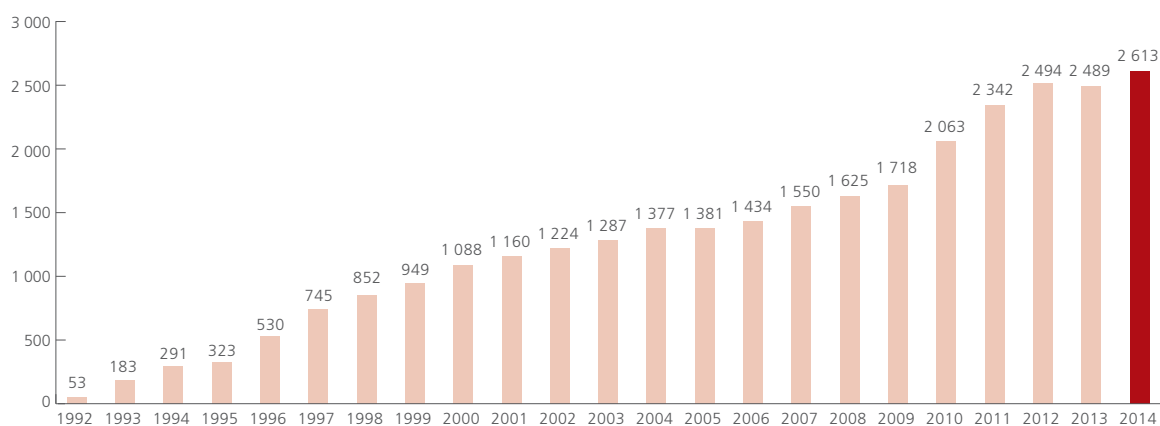
1 475

732

GDP

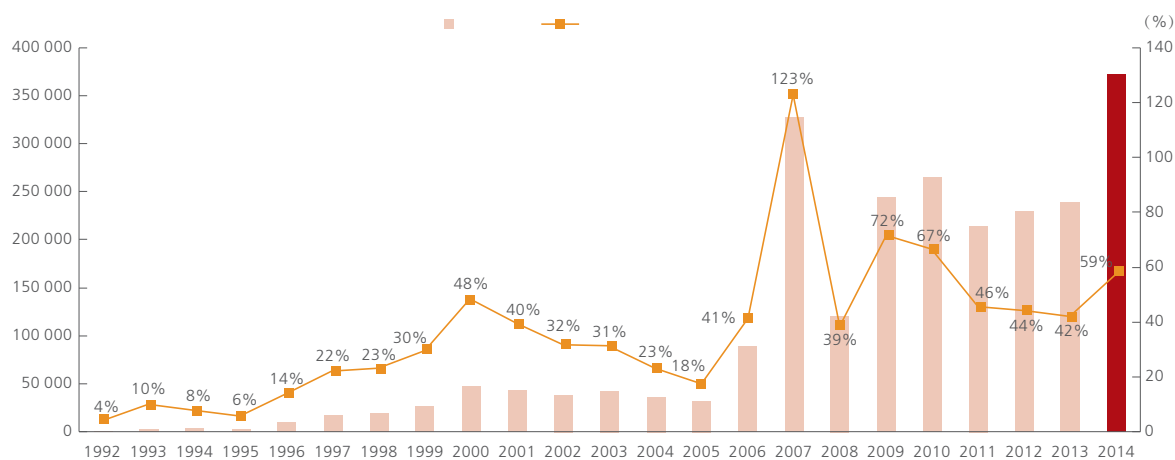
58.53%

2-2



2- 1

1992~2014



2- 2

GDP

1992~2014

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

1 572

2014

1 572

4 591.42

2-2

1 216

30

18

2-3

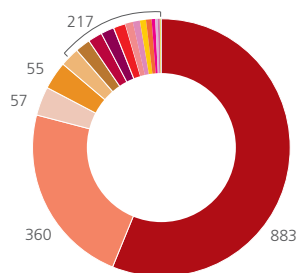
78%

2014

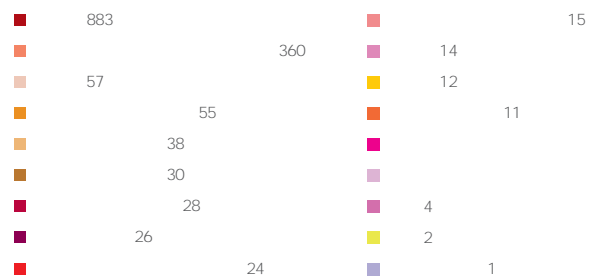
8

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



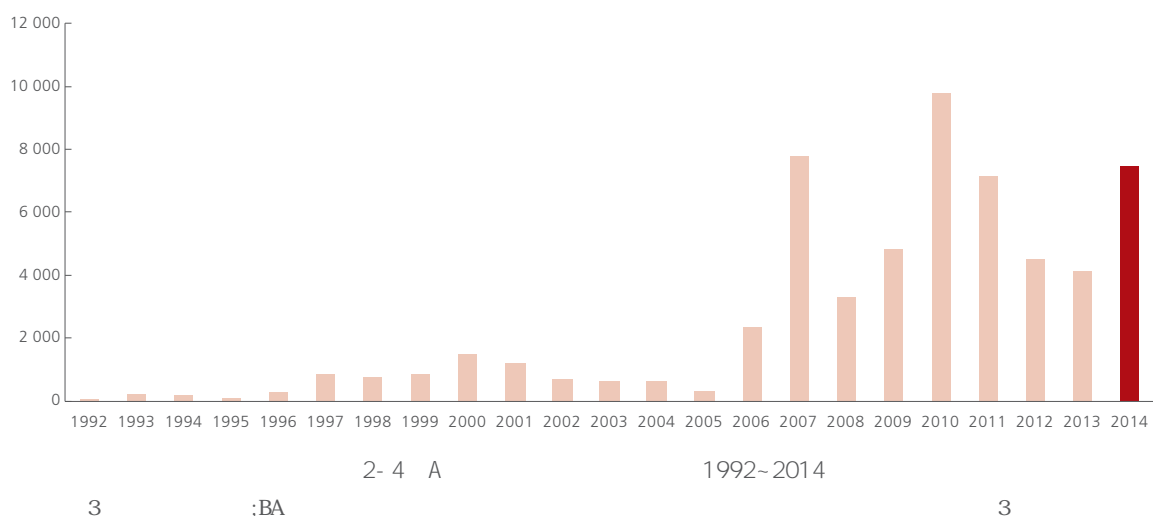
挂牌公司家数



2- 3

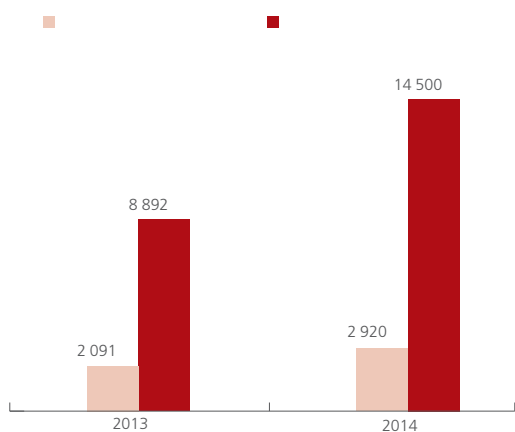
#(

2014 758 A 2014 289
 7 468.47 2-4 329 132.09 2013
 80.05% 668.90 13 4 490
 3.65 4 023.51 64 42.19
 2 634.43
 137.98 63.93%

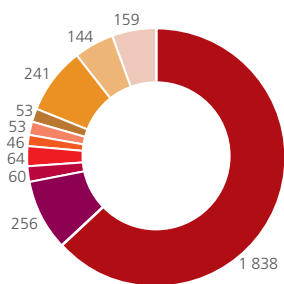


1.45 2-5 40% 63%
 125
 535 77% 2-6
 66% 1 923
 777 1.9
 50% 75%
 2 920

2014



2- 5



2- 6 2014

2014 43.88 16 4
17.22

1.25

1.25

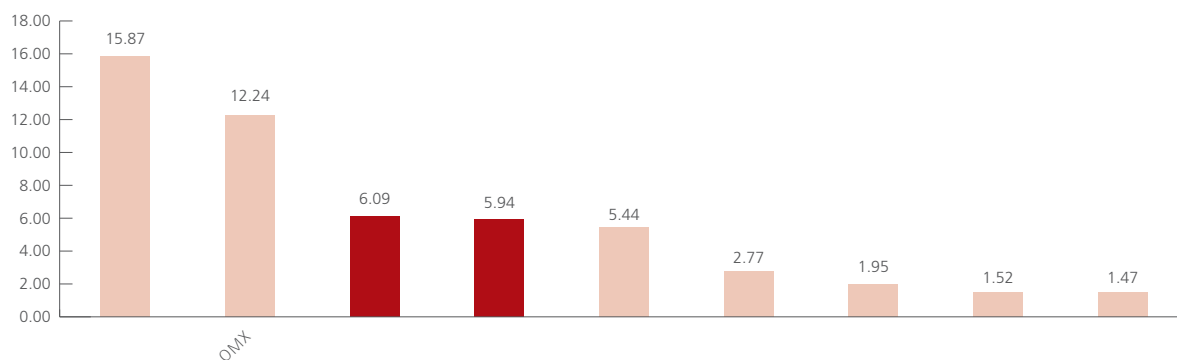
2014 52.87% 33.80%
2-7 1~6 3.20%
3.70% 7

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

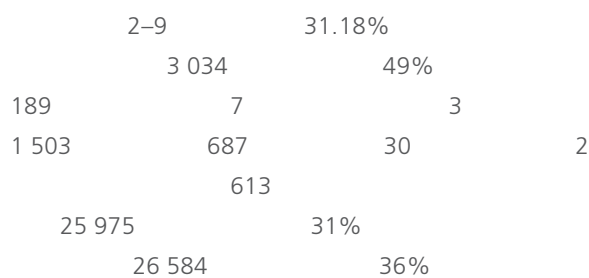


2- 7 2014

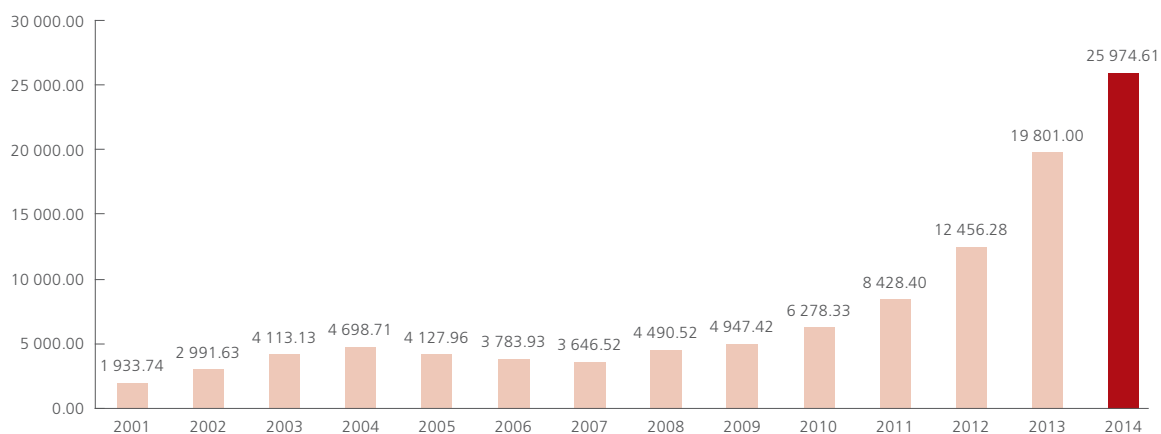
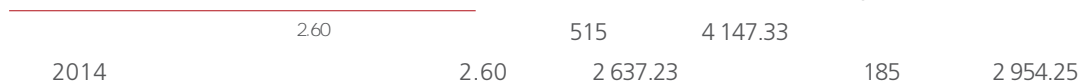
I [V



2- 8 2014



2.60



2- 9



2014 8 18

2014
94% 2-5 12.92 7.95 60 2014
1.22 351
3.74 185.89
124.82

2014 42 29 2014 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

2- 6

2014

10 3 6 50
500
PTA
1 2

2014 44 2 46 2-6
300 5

25.06

25.06

2-10

21.54%

25.06

291.99

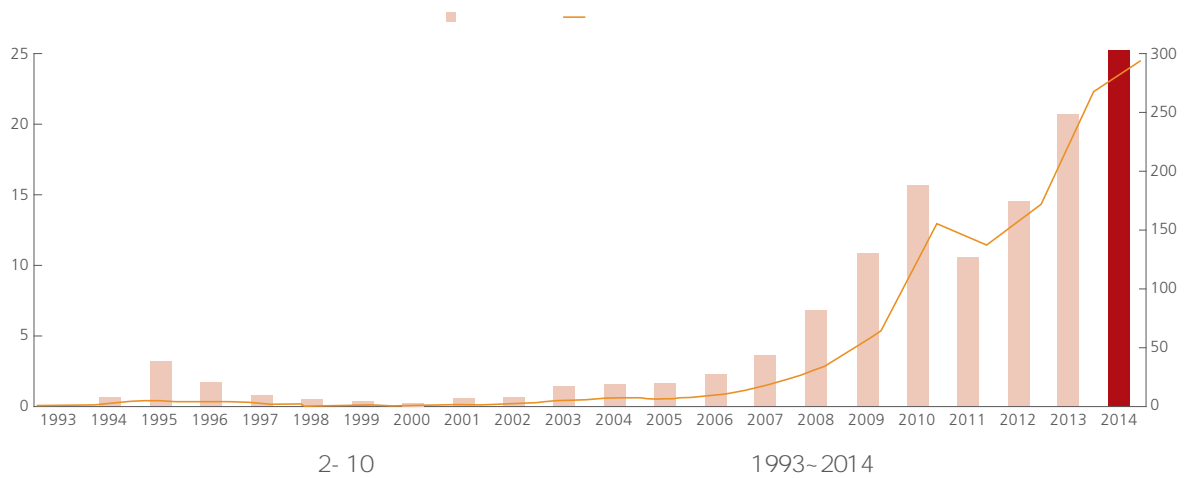
9.16%

2.18

164.02

8.68% 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

A

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

S" #& #"

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 81 660

9 205 6 792 11 135

2 603 97% 22% 30% 64% 2014 95

2-11 980 73

710 310 1 020.65 657.56

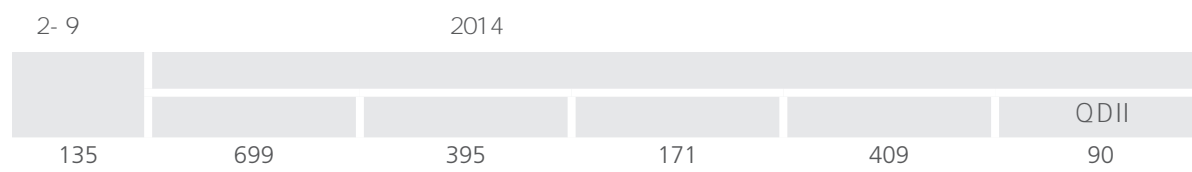
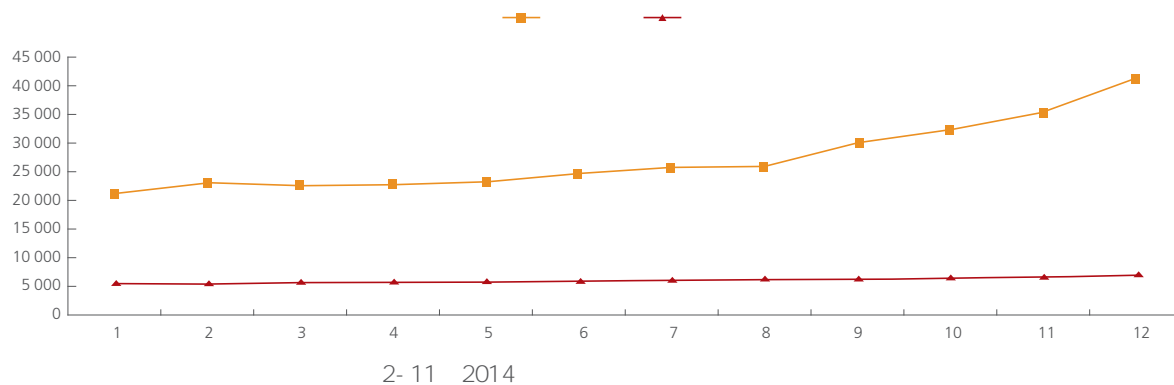
124 284 812 6.68 57.84%

446 4.54 1 899

14 90 2-9 12 240

262 528 195 6 085 2 974

341 449 62%



2014 153 2014 84 21.14

433.51 619.98 728.76 36.46 23.42

190.20 481.25 18.79 0.79

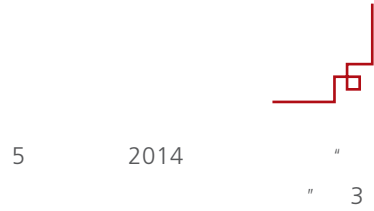
41.52

\$" #& #S

#S"



监管转型



13 2014 3

" "

" "

1 9
2014 5

21
2014 "

"

" 3

"

"

11 6

668.89

668.89

2014	125			"
43	82	31	51	
	668.89	5.35		

3

11

5	2	6
---	---	---

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

	2014	2 801	2014	263
		403	278	
			27	

415

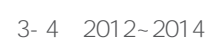
2	—	9
---	---	---

"

44



488



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

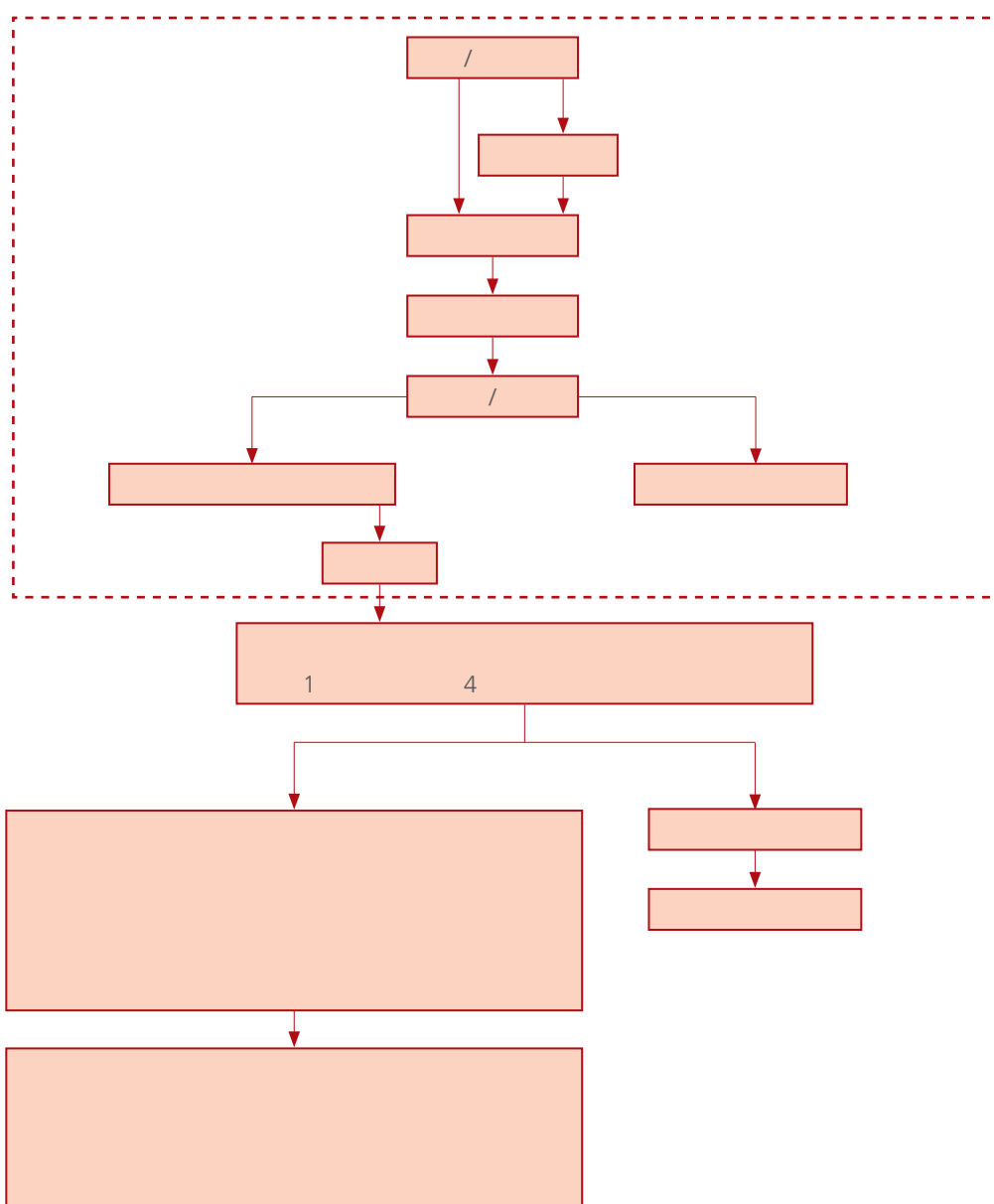
2012~2014

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



S[#] #& %

)



2014

391

2014

10

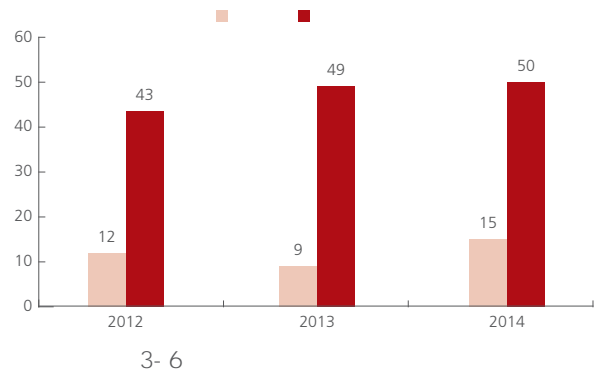
4

219 111 115 20 278 2 250



2014

15 8 50 3-6



3

5

2014 1.45
62.2 6.95 3-3

3- 3

	13 229
	17 169
	39 147
	69 545

(IOSCO)





改革创新



2014



IPO

159.46

159.46

2014

9

"

"

/

2014

51

3

159.46

1

251

191

5 000

58

/

2

90%

90%

200

2014

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	



\$

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"

2014	10
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\$" #&	%%
&\$" "	\$%&
# * " "	

1 055

1 055

2014 3

"
"

200

9

2014

6

1 055



40

2014

1 848

670

2014

IPO

1 700

2014

20%

2014

1

2014

2 300





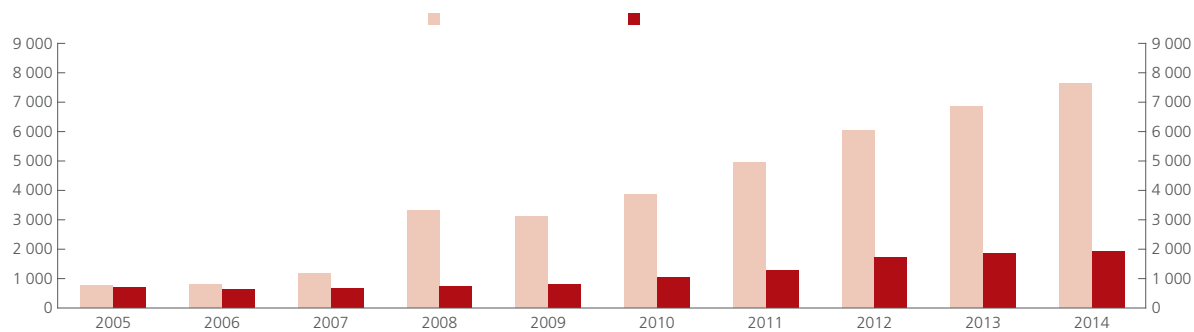
投资者保护



7 638.62

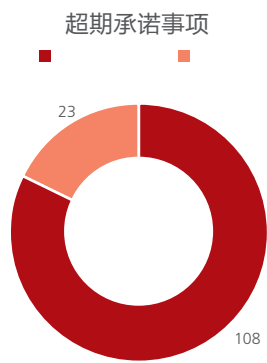
7 638.62

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

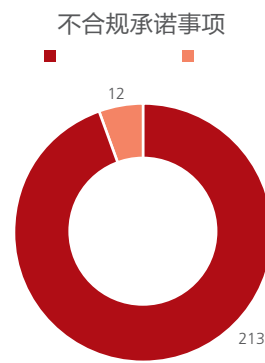


5- 1

2014
213
108
90%
33
5-2



5- 2



" " "

934
93%
1 007
125
74

2014 235

1 008

1 008

2014

"

3

15

2014

87

71

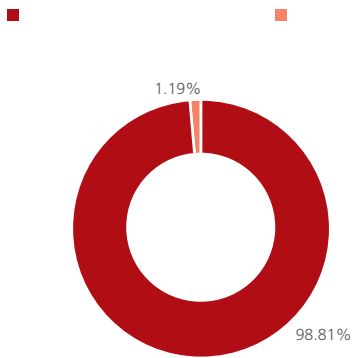
"

" 2014 30 "

2014 4 9 823 " 12386"

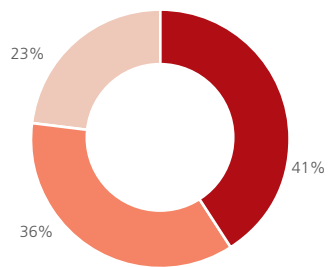
8 883 95.7% 98.81%

5-3 42



5- 3

■ ■ ■



5- 4 " 12386"

200
3 000
1 200



对外开放



B H
(RQFII)

(QFII)



2014 4

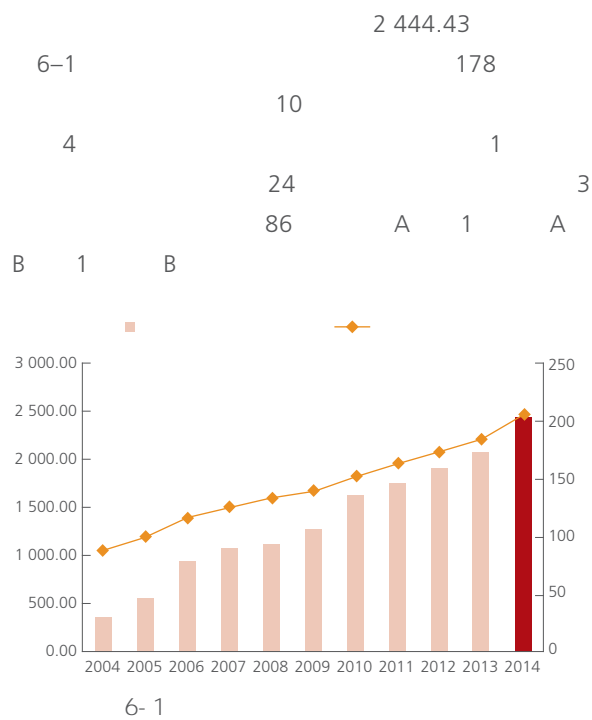
2014 11

11 17

2014
1 880.75 1 675.12
205.63

" "

2014 205



QFII RQFII

8 200

RQFII

8 200

RQFII

RQFII

QFII RQFII

8 200

RQFII

QFII

QFII

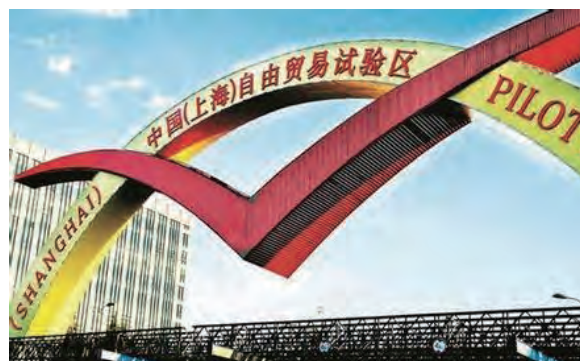
RQFII

65

56.4

2014

120



B H

B

2014

5

" " " "

(CEPA)

4

13

5

6

22
29

2014 12

QFII

4

2014

CEPA

26

RQFII

1

A MSCI

51%

2014

MSCI

A

50%

CEPA

CEPA

IOSCO

2014 12

2014 9
(IOSCO) 39

QFII

IOSCO

QFII

2014

3

2014~2015



;AE5A

#+*%

#S&

#&

('

;AE5A

95"

8E4

\$" #&

;A E5 A

\$" %

2014 97
69 13
2007 IOSCO



IOSCO

\$" \$ ' ;AE5A #+
;AE5A
S" #& #" %

2014
4
2014
55 59

(CPMI) IOSCO
FMI
CPMI-IOSCO FMI
FMI G

33 —

34 —

• 2014 4 9

• 2014 4 10

• 2014 4 10

9

• 2014 4 18

• 2014 4 25

• 2014 4 25

• 2014 5 19

• 2014 5 29

• 2014 5 29

" "

• 2014 5 29

• 2014 6 7

2006

2 —

2012

3 —

2013

13 —

2013

15 —

16 —

17 —

26 —

9

• 2014 6 9

• 2014 6 13

• 2014 6 13

28 —

2014

29 —

2014

35 —

36 —

37 —

• 2014 6 13

• 2014 6 13

• 2014 8 21

• 2014 6 13

• 2014 8 25

• 2014 9 1

• 2014 6 20

RQFII

RQFII

• 2014 6 20

• 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

RQFII

• 2014 10 15

• 2014 7 21

• 2014 10 17

• 2014 7 25

• 2014 10 24

• 2014 8 8

"

"

• 2014 10 24

• 2014 10 24

• 2014 10 25

• 2014 10 29

• 2014 11 6

• 2014 11 6

• 2014 11 12

• 2014 11 14

• 2014 11 14

• 2014 11 14

QFII RQFII

• 2014 11 19
2014

• 2014 11 21

• 2014 11 21

• 2014 11 22
2014

• 2014 12 4

• 2014 12 8

• 2014 12 11

• 2014 12 12

• 2014 12 12

• 2014 12 19

• 2014 12 19

• 2014 12 25

QFII RQFII

1 —
ETF

• 2014 12 26

• 2014 12 26

2014

• 2014 12 27

"

"

15 —

2 2014

Case No.	Case Name	Case No.	Case Name
1	2014 3 21	2	2014 1 3
2	97	3	[2014]2
3	2014 3 21	4	2014 1 6
4	2014 5 14	5	[2014]4
5	5 14	6	2014 2 12
6	2014 6 13	7	[2014]8
7	100	8	3 2014
8	101	9	2 21
9	2014 6 23	10	[2014]10
10	102	11	2014 3 21
11	103	12	[2014]11
12	104	13	32 —
13	105	14	[2014]12
14	2014 9 5	15	33 —
15	2014 10 15	16	2014 4 1
16	2014 10 23	17	[2014]13
17	106	18	34 —
18	107	19	[2014]14
19	108	20	[2014]12
20	2014 10 23	21	2014 4 3
21	109	22	[2014]15
22	2014 10 29	23	2014 4 20
23	110	24	[2014]17
24	2014 12 8	25	2014 5 28
25	111	26	2014 5
26	2014 12 8	27	28
27	111	28	[2014]20
28	2014 12 8	29	2014 5 28
29	111	30	[2014]21
30	2014 12 8	31	2014 5 28
31	111	32	2014 5 28
32	2014 12 8	33	2014 5 28
33	111	34	2014 5 28
34	2014 12 8	35	2014 5 28
35	111	36	2014 5 28
36	2014 12 8	37	2014 5 28
37	111	38	2014 5 28
38	2014 12 8	39	2014 5 28
39	111	40	2014 5 28
40	2014 12 8	41	2014 5 28
41	111	42	2014 5 28
42	2014 12 8	43	2014 5 28
43	111	44	2014 5 28
44	2014 12 8	45	2014 5 28
45	111	46	2014 5 28
46	2014 12 8	47	2014 5 28
47	111	48	2014 5 28
48	2014 12 8	49	2014 5 28
49	111	50	2014 5 28
50	2014 12 8	51	2014 5 28
51	111	52	2014 5 28
52	2014 12 8	53	2014 5 28
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59	111	60	2014 5 28
60	2014 12 8	61	2014 5 28
61	111	62	2014 5 28
62	2014 12 8	63	2014 5 28
63	111	64	2014 5 28
64	2014 12 8	65	2014 5 28
65	111	66	2014 5 28
66	2014 12 8	67	2014 5 28
67	111	68	2014 5 28
68	2014 12 8	69	2014 5 28
69	111	70	2014 5 28
70	2014 12 8	71	2014 5 28
71	111	72	2014 5 28
72	2014 12 8	73	2014 5 28
73	111	74	2014 5 28
74	2014 12 8	75	2014 5 28
75	111	76	2014 5 28
76	2014 12 8	77	2014 5 28
77	111	78	2014 5 28
78	2014 12 8	79	2014 5 28
79	111	80	2014 5 28
80	2014 12 8	81	2014 5 28
81	111	82	2014 5 28
82	2014 12 8	83	2014 5 28
83	111	84	

17	3	---	2014	---	30		5
	2014	5	28	[2014]22	2014	6	23
						[2014]34	
18	---		2014	13	31		
	2014	5	28	[2014]23	6	---	2014
						[2014]35	6
19	15	---	2014	2014	32		
	5	28	[2014]24				2014
							6
20	16	---	2014		27	[2014]48	
	2014	5	28	[2014]25	33		
						2014	7
							7
21	17	---	2014	2014	34		2014
	5	28	[2014]26		8	14	[2014]39
22	26	---	2014		35		
	2014	5	28	[2014]			2014
							8
							14
23	27				[2014]41		
					36		
			2014	6	6		2014
							8
							29
	[2014]72				[2014]40		
24	28	---	2014		37		
	2014	6	11	[2014]28	2014	9	18
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	2014	6	11	[2014]30	40	2014	2014
					10	20	[2014]46
27	36	---			41	2014	2014
			2014	6	11		10
	[2014]31				42	[2014]47	
28	37	---				2014	10
	2014	6	11	[2014]32	43		31
29	2014	6	20	[2014]33		2014	11
						4	[2014]336

44					48				
		2014	11	14		17	—	2014	2014
	[2014]48					12	24	[2014]52	
45					49				
			2014	11	19	26	—		2014
	[2014]49					2014	12	[2014]53	
46					50				15
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				[2014]50					
47				1	—	2014	12	[2014]54	
				2014	12	16			
	[2014]51								



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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		1 155
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	
1		500 (200122)

1990 10

2014	1 618	12	4
1 657	128 573		
95 128	9 710		
7 375	76%		
0755-88668888		2014	
0755-82083947			
cis@szse.cn			
www.szse.cn			16
	2012	2014	198
(518038)		240	100.7
	2014	250.7	

28.8% 39% 6.8 9 8 2014 30
 23.2 23%
 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 5
 www.czce.com.cn 92.29 8 785.17
 30 021-50160666
 (450018) 021-50160606
 rd@cffex.com.cn
 www.cffex.com.cn
 1600
 (200122)
 1993 2
 28
 2014 1 2001 3 30
 2
 16
 2014 168
 199.08 6.28
 7.70
 9.87% 41.49 12%
 429.99 32.04% 25%
 30.71% 14.21% 44.45% 100%
 0411-84808888
 0411-84808588
 office@dce.com.cn
 www.dce.com.cn
 129 B H
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 (116023) 1.42 142
 6 330 40.57
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	971.11				
3 175.73		20 540.88			
	010-66210988				
	010-66210938				
	zbshi@chinaclear.com.cn				
	www.chinaclear.cn				
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			2014		
				2 004.74	
			1 144.61		1 037.09
	2005 8 30			107.52	
		914		10 253.90	
		1.96			
			010-63211666		
			010-63211601		
			webmaster@csf.com.cn		
			www.csf.com.cn		
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	2014	590.64		2006 3	
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		225.205			
	252.631				
29.277					
	1.14	10 000			
	010-66580839				
	010-66580616				
	lixiang@sipf.com.cn		2014		82.26
	www.sipf.com.cn			79.52	2.74
		5			
				41.07	
	(100033)		44.4		
				010-66555088	
				010-66555038	
				cfmmc@cfmmc.com	
				www.cfmmc.com	
2011 10 28				5	B
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010-83141900
010-83141991
zbs@csits.org.cn

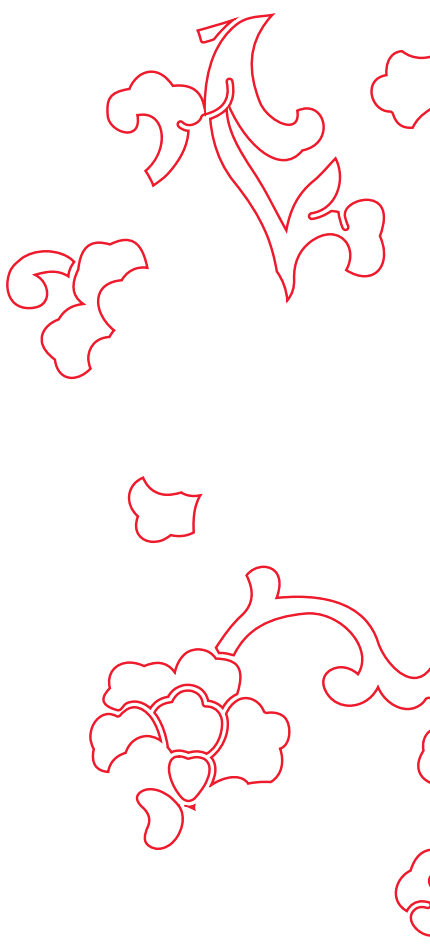
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021-50496312
021-50496325
zxtzzfwzxbgs@csrc.gov.cn

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	2008	2009	2010	2011	2012	2013	2014
A B	1 625	1 718	2 063	2 342	2 494	2 489	2 613
B	109	108	108	108	107	106	104
	153	159	165	171	179	185	205
	24 522.85	26 162.85	33 184.35	36 095.52	38 395.00	40 569.08	43 610.13
	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
	136 396	215 743	313 368.83	105 413.75	145 052.57	206 182.31	250 585.57
	719 173.35	1 305 107.20	3 080 592.41	1 375 162.44	1 711 269.36	2 674 762.01	2 919 882.25

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	120			
1		B		
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3		AA		
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13		A		
14		BB		
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21	S	A		
22	W			33.30%
23	W/S/H	C		33.30%
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	120			
31		BBB		
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36	H/S	AA		
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41		BBB		
42		BBB		
43	S	A		
44		A		
45		B		
46		BB		
47		BBB		
48		BBB		
49				
50		A		
51	H/S	AA		
52		AA		
53		BB		
54		B		
55				
56		BBB		
57				
58		CCC		
59		CC		
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62	H	BB		
63	H	A		
64		B		
65	W	A	(UBS AG) (IFC)	24.99%
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3	1995	7	4	
4	1995	11	30	
5	1996	5	23	
6	1996	10	7	
7	1997	3	18	

8	1997	4	18	
9	1997	11	13	
10	1998	3	4	
11	1998	10	8	
12	1999	11	3	
13	2000	6	22	
14	2001	6	19	
15	2002	1	18	
16	2002	6	27	
17	2002	10	29	
18	2002	11	1	
19	2002	11	26	
20	2003	3	21	
21	2003	5	22	
22	2003	12	9	
23	2004	2	20	
24	2004	10	14	
25	2004	10	26	
26	2005	6	14	
27	2005	6	27	
28	2006	9	15	
29	2006	9	20	
30	2006	9	20	
31	2006	9	26	
32	2006	11	10	
33	2006	11	21	
34	2006	12	6	
35	2007	4	12	
36	2008	1	15	
37	2008	1	24	
38	2008	8	8	
39	2008	9	27	
40	2008	10	23	
41	2008	10	30	
42	2009	10	6	
43	2009	11	16	

44	2010	1	26	
45	2010	5	5	
46	2010	12	17	
47	2011	3	29	
48	2011	4	7	
49	2011	9	19	
50	2012	4	24	
51	2012	5	17	
52	2012	5	17	
53	2013	8	30	
54	2013	9	13	
55	2013	11	18	
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57	2014	2	17	
58	2014	4	9	
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#++* ' #'
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www.csrc.gov.cn

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<http://t.home.news.cn/csrfabu>

<http://weibo.com/csrfabu>

<http://e.t.qq.com/csrfabu>



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