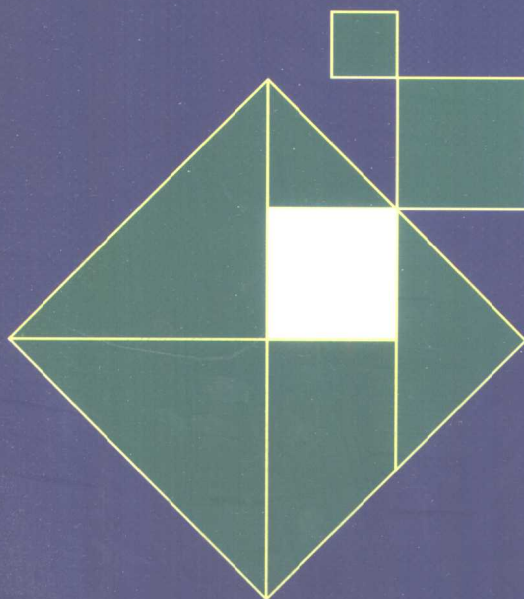


深圳证券交易所市场统计年鉴

SHENZHEN STOCK EXCHANGE FACT BOOK

1998



中国金融出版社

深圳证券交易所市场统计年鉴
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中国金融出版社

责任编辑:方瑞枝

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图书在版编目(CIP)数据

深圳证券交易所市场统计年鉴 1998 / 桂敏杰主编.

—北京:中国金融出版社,1999.3

ISBN 7-5049-2131-9

I. 深…

II. 桂…

III. 证券交易所-统计资料-广东-深圳市-1998-年鉴

IV. F832.5-66

中国版本图书馆 CIP 数据核字(1999)第 05647 号

深圳证券交易所市场统计年鉴 1998

深圳证券交易所 编辑

桂敏杰 主编

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中国金融出版社出版

(北京广安门外小红庙南里3号 100055)

深圳(宝安)新兴印刷厂印刷



850×1168 毫米 16 开本 19 印张 600 千字

1999 年 3 月第 1 版 1999 年 3 月深圳第 1 次印刷

印数:1—3000 册



定价: 50.00 元

指标说明

1. **本年鉴约定:**成交金额、成交数量以交易的买方或卖方单边计算,交易金额、交易数量以交易的买方和卖方双边计算。所以,总交易金额等于总成交金额的两倍。

2. **单位:**除非特别说明,本年鉴中金额的单位为百万元人民币,B股换算为人民币计算;数量的单位为百万股(张、份),国债期货单位为口,国债回购单位为手。

3. **统计范围:**在本所上市交易或联网交易的各类证券,包括股票(A股、B股),基金,权证(认股权证、A1权、A2权、B权),企业债券(含可转换债券),国债(现货、回购、期货)。

4. **统计内容:**包括本所上市的各类证券的交易状况和参与者的交易状况,会员情况及交易状况等。

5. **统计时期:**1998年1月1日至1998年12月31日。为便于对比,增加1991年至1997年的部分相关数据。

6. **数据类型:**证券数目及会员数目、股本、市值、市盈率、股价、指数等为月底或年底的时点数字,不具时可加性;交易金额、交易数量等为全年或某月的时期数字,具有时可加性,由相应时期内各交易日的实际数字累加而成。

7. **零股交易:**零股交易已计入当月和当年的交易统计数字中,但总交易日数不包括零股交易日数。

8. **舍入误差:**本年鉴数字采用截尾方式计算,个别数字采用四舍五入方式计算。由于舍入误差,分类数字之和未必等于总额数字。

9. **上市公司数:**其股票在本所上市的公司数目。

10. **上市证券数目:**包括在本所直接挂牌或联网挂牌的各类证券数目。

11. **会员数:**申请成为本所会员的数目。

12. **席位数:**包括本所会员申请的席位及其他非会员申请的特别席位,如国债专席,B股境外券商特别席位,联网中心特别席位。

13. **发行股本:**指上市公司发行在外的A股和B股股本,不含H股股本。

$$\text{总发行股本} = \sum \text{A股总股本} + \sum \text{B股总股本}$$

14. 上市面额:指除股票外的其它证券在本所直接或联网挂牌的面额数量。

$$\text{总上市面额} = \sum \text{企业债券面额} + \sum \text{基金单位数} + \sum \text{权证张数}$$

15. 市价总值:

$$\text{股票市价总值} = \sum \text{总发行股本} \times \text{收市价}$$

$$\text{其它证券市值} = \sum \text{上市面额} \times \text{收市价/每张面额}$$

16. 平均市盈率:只计算股票的平均市盈率。

$$\begin{aligned} \text{平均市盈率} &= \sum \text{股票总市值} / \sum \text{股票总收益} \\ &= \sum (\text{收市价} \times \text{总股本}) / \sum (\text{每股盈利} \times \text{总股本}) \end{aligned}$$

$$17. \text{证券升跌幅} = \left(\frac{\text{本月(年)收市价}}{\text{上月(年)收市价} \times \text{调整因子}} - 1 \right) \times 100\%$$

$$\text{调整因子} = \text{除权参考价} / \text{股权登记日收市价}$$

$$\text{除权参考价} = \frac{\text{股权登记日收市价} - \text{每股股息} + \text{配股价} \times \text{配股率}}{1 + \text{送股率} + \text{配股率}}$$

18. 股价指数:本所编制的综合指数类和成份股指数类。收市采用月(年)底时点数,最高、最低指数皆为收市指数的最高、最低。

19. 交易日数:分 A 股交易日数, B 股交易日数,不含零股交易日数。

$$\text{总交易日数} = \text{A 股交易日数} \text{及} \text{B 股交易日数中较大者}$$

20. 总成交金额 = 股票成交额 + 基金成交额 + 权证成交额 + 企业债券成交额 + 国债成交额。

$$\text{全年累计数} = \sum \text{全年每日成交额 (1995 年前包括周六的零股交易)}$$

$$\text{日均成交金额} = \text{总成交金额} / \text{总交易日数}$$

21. 总成交股数 = $\sum$ A 股总成交股数 + $\sum$ B 股总成交股数。

$$\text{日均成交股数} = \text{总成交股数} / \text{总交易日}$$

其它成交数量:除股票外的成交量,单位:期货为口,债券为手,其它为张

22. 股票换手率 = $\sum$ (股票每日成交股数/流通股数)。

23. 成交手数:股票、权证、基金交易单位每手 1 股(张),债券每手 10 张。

24. 成交笔数:由交易系统完成配对交易的记录数。

25. 分红派息:指 1998 年内上市公司根据分红派息方案派发的红股和股息。

26. 配股:1998 年内上市公司的配股活动。配股集资金额 = 配股价 $\times$ 实际配股数。

27. 内部职工股:1998 年度内部职工股的上市情况。

28. 停牌情况:1998 年内发生的证券停牌及原因。

29. 集资金额:包括上市公司发行集资和配股集资。

30. 分类统计:将上市公司分为工业、商业、金融、地产、公用事业和综合企业六类,分别进行统计。

Notes to Statistics Indicators

1. **Specification of the Fact Book:** Transaction turnover and volume are calculated on an unilateral basis, while trading turnover and volume are counted on a bilateral basis. Accordingly, total trading turnover is twice as much.

2. **Unit:** Except for special notes, calculation unit of turnover shall be RMB million. B share turnover is calculated after converting Hong Kong dollar into Renminbi. Calculation unit of trading volume of equities and funds is one million, while that of TB futures and TB repurchase is one contract and one board lot, respectively.

3. **Products Included:** All the securities listed on the Exchange or traded on the Exchange via computer link. These securities include equities (Class A & B shares), funds, warrants, rights (A- share rights, A1 rights, A2 rights and B- share rights), corporate bonds (including convertible bond) and treasuries (treasuries cash, repurchase and futures).

4. **Contents:** Transaction of all the securities listed on the Exchange, participation of investors, information and performance of member brokers.

5. **Covered Period:** January 1 — December 31, 1998. Related information from 1991 to 1997 is added for reference.

6. **Statistics Classification:** Number of securities, members, stock capital, market value, P/E ratio, stock prices and stock price indices are the month-end or year-end figures, not timeaddable. Traded value and volume are the year or month figures and are cumulative of the virtual figures in the trading days in the related time period.

7. **Trading of Odd Lot Shares:** Odd lot shares transaction is included in the trading statistics of the month or year, but the number of their trading days are excluded in the total number of trading days.

8. **Rounding-off Error:** Calculation is conducted on an end cut or rounding off basis. Due to the rounding off error, the figures of all the indicators added may not equal to the total amount.

9. **Number of Listed Companies:** The figure of the number of listed companies refers to the total number of companies whose stocks are listed on the Exchange.

10. **Number of Listed Securities:** The figure of the number of listed securities refers to the total number of securities listed on the Exchange or traded on the Exchange via computer link.

11. **Number of Members:** The figure of the number of members refers to the total number of member brokers of the Exchange.

12. **Seats Number:** The figure of the number of seats refers to the total number of trading seats include those of the members and special trading seats of non-member traders such as TB seats, B share seats and seats of securities centres linked to the Exchange.

13. **Issued Capital Stock:** outstanding capital stock of A and B shares, excluding that of H shares.

Total capital stock = $\sum$ capital stock of A shares + $\sum$ capital stock of B shares

14. **Listed Par Value:** gross par value of securities other than equities listed on the Exchange or traded on the Exchange via computer link.

Total listed par value = $\sum$ par value of corporate bonds + $\sum$ number of fund units + $\sum$ number of warrants and rights

15. **Total Market Value:** Market value of equities = $\sum$ total issued capital stock $\times$ closing price

Market value of other securities = $\sum$ total listed par value $\times$ closing price/par value of each

16. **Average P/E Ratio:** average P/E ratio of equities only.

$$\begin{aligned}\text{Average P/E ratio} &= \frac{\sum \text{total market value of equities}}{\sum \text{gross profit earnings of equities}} \\ &= \frac{\sum (\text{closing prices} \times \text{total capital stock})}{\sum (\text{PSE} \times \text{total capital stock})}\end{aligned}$$

17. **Change of Securities Prices**

$$= \left(\frac{\text{closing price of the month or year}}{\text{closing price of the previous month or year} \times \text{adjusted factors}} - 1 \right) \times 100\%$$

Adjusted factors = $\frac{\text{ex-right price}}{\text{closing price on the registration date of share right}}$

Ex-right price =

$$\frac{\text{closing price on the registration date of share right} - \text{dividend} + \text{share placing price} \times \text{share placing ratio}}{1 + \text{bonus ratio} \times \text{share placing ratio}}$$

18. **Stock Price Indices:** composite stock price indices and component stock price indices. Closing indices are the month-end or year-end indices. The high and low refer to the high and low of closing indices.

19. **Trading Days:** Trading days of both A and B shares except for those of odd lot shares. Total number of trading days = Whichever market (A shares or B shares) has more number of trading days.

20. **Total Transaction Turnover:** turnover of equities + of funds + of corporate bonds + of treasuries.

Cumulative transaction turnover of the year = $\sum$ daily transaction turnover of the year including that of the odd lot shares

$$\text{Average daily transaction turnover} = \frac{\text{gross transaction turnover}}{\text{total number of trading days}}$$

21. **Total Transaction Volume** = $\sum$ Gross transaction volume of A shares + $\sum$ gross transaction volume of B shares

$$\text{Daily transaction volume} = \frac{\text{gross transaction volume}}{\text{total number of trading days}}$$

Transaction volume of other securities: transaction volume of securities other than equities. Trading unit of TB futures, bonds and rights is one contract, one board lot and one right, respectively.

$$22. \text{ Stock Liquidity} = \sum \left(\frac{\text{daily transaction volume}}{\text{number of tradable shares}} \right) \times 100\%$$

23. **Minimum Trading Unit:** a minimum of 1 is required of equities, rights and funds, compared with that of 10 for bonds.

24. **Number of Deals:** The figure of number of deals refers to the total number of transactions completed via the trading systems of the Exchange.

25. **Dividend Distribution and Bonus Payment:** Dividend and bonus distributed and paid by the listed companies in 1998 in line with their respective plans.

26. **Share Placement:** Share placing activities conducted by the listed companies in 1998. Fund raised via share placement = placing price $\times$ actual number of shares placed.

27. **Staff Shares:** Listings of staff shares in 1998.

28. **Suspension:** suspension of securities in 1998 and the causes of suspension.

29. **Amount of Money Raised:** The figure refers to the total amount of fund raised in the public stock issues and share placement conducted by the listed companies.

30. **Classification of Equities:** Listed companies are divided into 6 sectors: industrials, commercials, financials, properties, utilities and conglomerate.

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