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中国证券期货  
统计年鉴

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China Securities and Futures Statistical  
YEARBOOK

中国证券监督管理委员会编  
CHINA SECURITIES REGULATORY COMMISSION

学林出版社

# 中国证券期货统计年鉴

CHINA SECURITIES AND FUTURES STATISTICAL YEARBOOK

## 2010

中国证券监督管理委员会 编

Edited by  
CHINA SECURITIES REGULATORY COMMISSION

学林出版社

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### 图书在版编目(CIP)数据

中国证券期货统计年鉴. 2010 / 中国证券监督管理委员会编. —  
上海: 学林出版社, 2010. 9

ISBN 978 - 7 - 5486 - 0064 - 0

I. ①中… II. ①中… III. ①证券交易—资本市场—  
统计资料—中国—2010—年鉴 ②期货交易—资本市场—统  
计资料—中国—2010—年鉴 IV. ①F832.51-54

中国版本图书馆 CIP 数据核字(2010)第 172014 号

### 中国证券期货统计年鉴(2010)



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出 版—— 上海世纪出版股份有限公司

学林出版社(上海钦州南路 81 号 3 楼)

电话: 64515005 传真: 64515005

发 行—— 上海世纪出版股份有限公司发行中心

(上海福建中路 193 号 www.ewen.cc)

照 排—— 南京展望文化发展有限公司

印 刷—— 上海展强印刷有限公司

开 本—— 889×1194 1/16

印 张—— 27.5

字 数—— 86 万

版 次—— 2010 年 9 月第 1 版

2010 年 9 月第 1 次印刷

书 号—— ISBN 978 - 7 - 5486 - 0064 - 0/Z·5

定 价—— 218.00 元

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## 编者说明

## Edit Directions

一、《中国证券期货统计年鉴(2010)》(中英文)收录了 2009 年证券期货市场的统计数据以及与证券期货市场相关的部分宏观经济指标。

二、年鉴分为证券市场概况、股票市场、债券市场、证券投资基金及衍生品、上市公司、投资者结构、期货市场、证券期货中介机构、大事记等 9 个部分,另附 2009 年世界交易所排名,上海、深圳证券交易所收费标准,中国证监会派出机构通讯录等。

三、年鉴资料主要来自证监会各业务部门、交易所和登记结算公司的统计报表;宏观经济数据主要来自国家统计局、中国人民银行、世界交易所联合会(WFE)。

四、年鉴部分数据合计数由于单位取舍不同而产生的计算误差均未作调整。

五、根据证券期货市场的发展需要,年鉴在内容上进行了扩充。

六、年鉴各表中,度量单位均在该表上方,对表中部分指标的注解、资料来源、汇率换算标准等在该表的下方。凡带续表的资料,对部分指标的注解一律在最后一张续表的下方。

中国证券监督管理委员会

2010 年 8 月

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### Postscript

# 证券期货市场统计管理办法

## 第 60 号

《证券期货市场统计管理办法》已经 2008 年 10 月 28 日中国证券监督管理委员会第 243 次主席办公会议审议通过,现予公布,自 2009 年 3 月 1 日起施行。

中国证券监督管理委员会主席:尚福林

二〇〇九年一月八日

# 证券期货市场统计管理办法

## 第一章 总 则

第一条 为了规范证券期货市场统计行为,发挥统计在反映证券期货市场基础信息和动态状况、加强证券期货市场监管中的作用,根据《中华人民共和国统计法》、《中华人民共和国证券法》、《中华人民共和国证券投资基金法》、《期货交易管理条例》、《证券公司监督管理条例》和《中华人民共和国统计法实施细则》等法律、行政法规,制定本办法。

第二条 证券期货市场统计的基本任务是对证券期货市场发展情况进行统计调查、统计分析,提供证券期货市场统计资料和统计咨询意见,实行统计监督。

第三条 证券期货市场统计调查对象(以下简称统计调查对象)应当如实提供证券期货统计资料,不得虚报、瞒报、拒报、迟报,不得伪造、篡改。

本办法所称的统计调查对象,包括证券公司、证券投资基金管理公司、期货公司及其分支机构,基金托管银行、基金销售机构、合格境外机构投资者托管银行,从事证券期货服务业务的投资咨询机构、财务顾问机构、资信评级机构、资产评估机构、会计师事务所、律师事务所,上市公司、非上市公众公司,证券期货交易所、证券登记结算机构、证券业协会、期货业协会、证券投资者保护基金公司、期货保证金监控中心等市场主体。

第四条 中国证券监督管理委员会(以下简称中国证监会)建立集中统一领导,分业务、分级负责的统计管理体制。

中国证监会负责全国证券期货市场(以下简称证券期货市场)的统计工作,中国证监会派出机构负责辖区内的证券期货统计工作。

第五条 中国证监会制定证券期货市场统计标准,发布证券期货市场统计资料或者可能影响证券期货市场稳定运行的其他统计资料。

第六条 统计资料的管理、使用和公布,应当遵守国家档案管理制度、保密制度和证券期货监督管理信息公开制度、证券期货市场诚信档案管理制度,保守统计调查对象的商业秘密,维护证券期货市场公开、公平、公正的原则。

## 第二章 统计机构和统计人员

第七条 中国证监会统计部门履行以下职责:

(一)组织证券期货市场统计调查工作,搜集、整理证券期货统计资料,管理、公布、汇编、对外提供证券期货市场统计资料;

(二)对证券期货市场运行、发展、风险等情况进行统计分析,编制证券期货市场统计报表,出具统计报告,提出有关的政策建议;

(三)建立健全证券期货统计制度,制定证券期货市场统计标准,完善证券期货统计指标体系,对统计法