



# 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状况进行跟踪评价，并陆续发布了《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，投保基金公司紧密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“先行赔付”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——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（“基金公司”）持续对我国资本市场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。

《蓝皮书》编制工作组

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
3289.37	62.99%		2019
64.90	100.94		

	3545		513		187
	1195	2020		2828	
1.66	2020	A		52.95	
3.66%		3.95		1.37%	8.52%
	0.79	<sup>1</sup> 2020	31		
2020	A			2886	
			1.51		12.50%
	11353.19				74.98%
3152.13		20.82%		496.88	3.28%
	142.65		0.94%	2020	
	972.53		17.89%		
2020					
	7	27			32
2020				8187	2.65
	5335.28				41 1138
7008	2020	674		716	338.50
	675	232.87			89.97
	5.33		9.90%	2020	34
		3.47		1.36	2020
	2884			1.42	
0.29					
2020					
		6292	8.48		16.33

	2020			20497	
2154		24		1975	9837
	370		109	6028	2020
			ABS 105	905.82	
			2020		22
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	593.87				
	2020			90	62
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60.27			322.00		
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2020				19.85	7237
				8.06	
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	81%		344	2020	8.86%
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	2019	103.51%	94		
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	ETF				
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4	3	18	IPO		
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15.17% 9633  
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98.94% 98.7%

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 26.76% 4218.86 586  
 1648.16 79%  
 439 268 61%

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437 3008 5  
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72  
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				20		
	15				2261	
	16					14
			52			
	2020					
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			2020			

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787 1700% 2020 1381 2900

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6.85 12.5

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23.21 38%  
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				2020		
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					"	"
						36
		2020	5	7	54	
<b>3</b>						
						2020 5
15						2020
	4359		3482		2887	71%
		6.4				
615				6		
"		" 517				
2020	5		43			
"				"	"	"
				879	446	76
	712				"	+
+	"					13

44.44% 18  
28.57% 8246 164.51% 14.95  
314.12%

**4.**

162  
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9165 1846 2020 63.49  
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3  
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93

2021  
3  
16 61

A 75.66 2019 2020 1.77

			75.96		0.95	
	83.22		2.97		68.03	
0.91						2020
				61.95		
	58.02		62.17		60.48	
			0.78			
		1.05	1.21		1.13	
						2009
				2014		
	75				2010	
	0.2				0.7	
		0.5				2020
			20			
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%

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3322                      80.67%

2020    273

259

25

2984                      72.46%

1/2

1103                      26.78%

2020

241                      5.85%                      1/3    1/2

1986                      48.23%

405                      9.83%

2020    2620

835

1498

20.28%

1108                      26.91%

2175                      52.82%

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22

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52                      41.57%                      80%

284                      42.16%    350

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		2020	1109	
	170	2848		
2020				
			2020	3945
	91.63%			
				19
		880		2752
				2020
"	"	"		"
	17.71	2.76	2020	
		964		23.41%
				2020
"	"	"		"
"			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

50% 146

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29.81% 3684

89.46% 10.4%

2020

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1920 2086

138

2020

1169 28.39% 2020

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144 3.5%

3 9

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"	90.97 "			" 90.61 "
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	2020		
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63.9%

85.7%

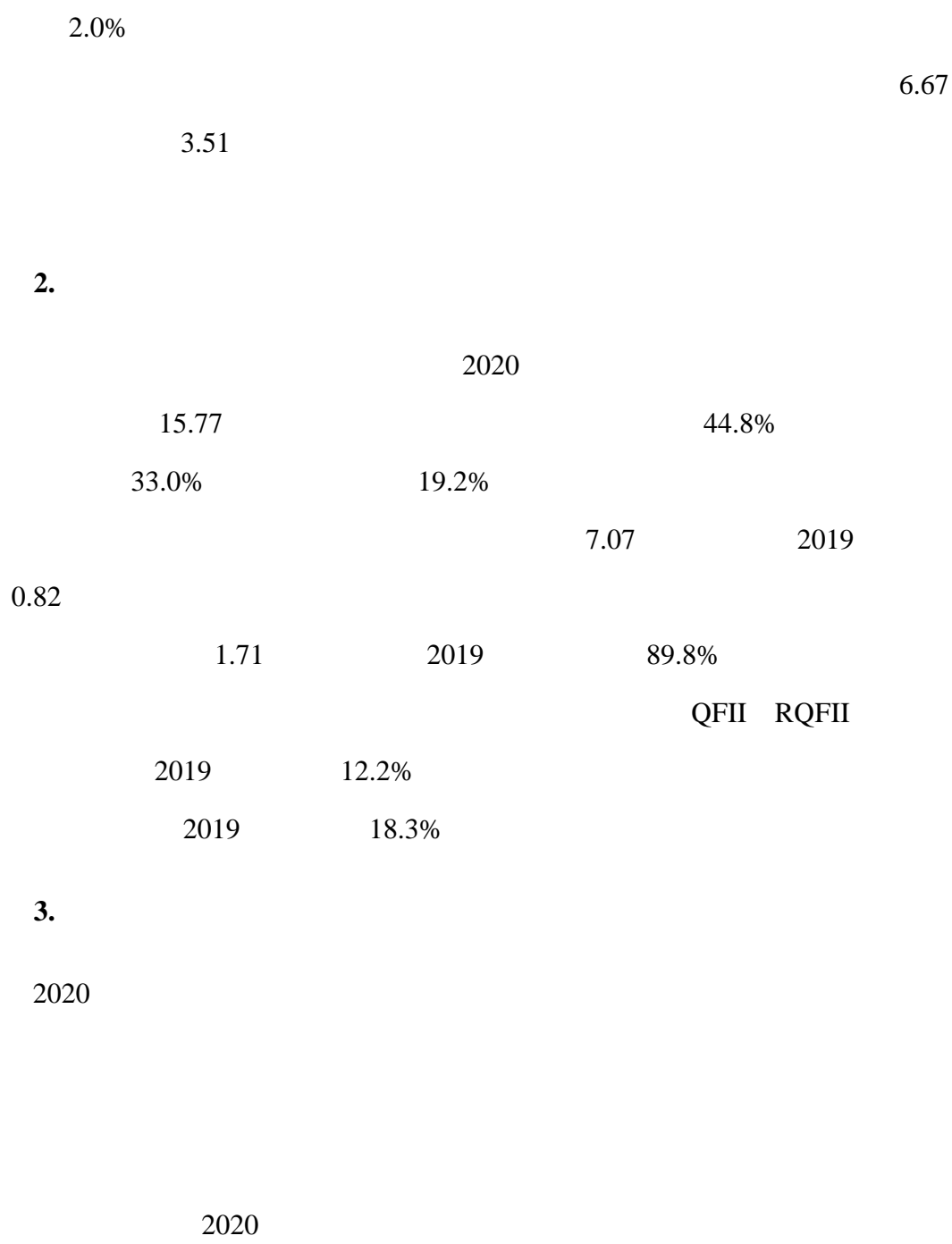
84.7%

89.2%  
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91.5% 95.1% 2020  
4.8 5  
8.5  
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93.85%  
1.5 14.2  
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2020	12			24561
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<sup>9</sup> 8908		54355		3.77
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10399	28477		11.06	29403
	1.6		9	9.46
	9.96			10
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