中国资本市场

投资者保护状况蓝皮书

总报告

2021

二　二一年十二月

引 言

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的整体状况和发展变化进行评价，并编制发布《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 年度资本市场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—证券期货行业自律组织投资者保护报告（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。

在本年度《蓝皮书》编制过程中，我们广泛征求了监管部门、自律组织、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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