

Edgar Filing: NOMURA HOLDINGS INC - Form 13F-HR

NOMURA HOLDINGS INC  
Form 13F-HR  
July 28, 2009

OMB APPROVAL

-----  
OMB Number:  
Expires:  
Estimated average burden  
hours per response.....  
-----

SEC USE ONLY  
-----  
-----

UNITED STATES  
SECURITIES AND EXCHANGE COMMISSION  
Washington, D.C. 20549

FORM 13F

FORM 13f Cover Page

Report for the Calendar Year or Quarter Ended June 30, 2009

If amended report check here:  Amendment Number: \_\_\_\_\_

This Amendment (Check only one):  is a restatement  
 adds new holding  
entries.

PRIOR FILINGS FOR THE NOMURA GROUP WERE REPORTED UNDER THE NAME NOMURA SECURITIES COMPANY, WITH CIK NUMBER 0000110097. SUBSEQUENT FILINGS WILL BE MADE UNDER THE NAME NOMURA HOLDINGS, INC., CIK NUMBER 0001163653. NOMURA HOLDINGS, INC. (NHI) IS THE PARENT HOLDING COMPANY OF A NUMBER OF OPERATING SUBSIDIARIES, SOME OF WHICH ARE OR MAY BE INSTITUTIONAL INVESTMENT MANAGERS FOR THE PURPOSES OF THE REPORTING REQUIREMENTS UNDER SECTION 13(F) OF THE SECURITIES EXCHANGE ACT OF 1934 (THE ACT) AND THE RULES PROMULGATED THEREUNDER. NHI ITSELF DOES NOT DIRECTLY EXERCISE INVESTMENT DISCRETION WITH RESPECT TO ANY SECTION 13(F) SECURITIES POSITIONS. IN THAT NHI'S OWNERSHIP INTEREST IN SUCH OPERATING SUBSIDIARIES IS DEEMED THE EXERCISE OF INVESTMENT DISCRETION REGARDING CERTAIN OF SUCH SUBSIDIARIES' MANAGED ACCOUNTS, THE INFORMATION REQUIRED BY FORM 13F IS REPORTED BY NHI ON BEHALF OF CERTAIN OF NHI'S OPERATING SUBSIDIARIES WHICH ARE INSTITUTIONAL INVESTMENT MANAGERS SUBJECT TO SECTION 13(F) OF THE ACT.

Nomura Holdings Inc.

-----  
Name of Institutional Investment Manager

1-9-1, Nihonbashi, Chuo-ku, Tokyo 103-8011, Japan

-----  
Business Address (Street) (City) (State) (Zip)

13F File Number: 001-15270

The institutional investment manager filing this report and the person by whom it is signed hereby represent that the person signing the report is authorized

Edgar Filing: NOMURA HOLDINGS INC - Form 13F-HR

to submit it, that all information contained herein is true, correct and complete, and that it is understood that all required items, statements, schedules, and tables, are considered integral parts of this form.

Person Signing this Report on Behalf of Reporting Manager:

Brendan G. Daly Head of Compliance and Surveillance 212-667-1246

-----  
Name (Title) (Phone)

/s/ Brendan G. Daly

-----  
(Manual Signature of Person Duly  
Authorized to Submit This Report)

New York, NY July 28, 2009

-----  
(Place and Date of Signing)

Report Type:

- [ ] 13F HOLDINGS REPORT.
- [ ] 13F NOTICE.
- [X] 13F COMBINATION REPORT.

Form 13F SUMMARY PAGE

Report Summary:

Number of Other Included Managers: 4  
Form 13F Information Table Entry Total: 32  
Form 13F Information Table Value Total: \$29,438  
(thousands)

List of Other Included Managers:

Name and 13F file numbers of ALL Institutional Investment Managers with respect to which this schedule is filed (other than the one filing this report): (List in alphabetical order).

13F File No.: Name:

-----  
6. 28-05739 Global Funds Management, S.A.  
-----

Edgar Filing: NOMURA HOLDINGS INC - Form 13F-HR

2. 28-04985 Nomura International plc  
-----  
4. 28-04993 Nomura Securities (Bermuda)  
-----  
1. 28-04983 Nomura Securities International, Inc.  
-----

1Page 1

FORM 13F  
INFORMATION TABLE  
QUARTER ENDING  
3/31/2009

NAME OF ISSUER	TITLE OF CLASS	CUSIP	VALUE X1000	SHARES PRN AMT	SH PRN	PUT CALL	INVSTMT DISCRETN	OT MAN
ENERGY XXI (BERMUDA) LTD		G10082108	7	000000014700	SH		DEFINED	01
TRANSOCEAN LTD		H8817H100	373	000000005026	SH		DEFINED	01
TYCO INTERNATIONAL LTD		H89128104	306	000000011796	SH		DEFINED	01
MILlicom Intl Cellular S A		L6388F110	208	000000003700	SH		DEFINED	01
AARONS INC		002535201	313	000000010500	SH		DEFINED	01
ADVANTA CORP		007942204	7	000000018850	SH		DEFINED	01
AIRTRAN HLDGS INC		00949P108	167	000000027100	SH		DEFINED	01
ALLEGHENY TECHNOLOGIES INC		01741R102	228	000000006668	SH		DEFINED	02
ALLIS CHALMERS ENERGY INC		019645506	44	000000019400	SH		DEFINED	01
AMCORE FINL INC		023912108	10	000000013183	SH		DEFINED	01
AMERIGROUP CORP		03073T102	295	000000011000	SH		DEFINED	01
AMKOR TECHNOLOGY INC		031652100	115	000000024400	SH		DEFINED	01
ANCHOR BANCORP WIS INC		032839102	15	000000012100	SH		DEFINED	01
ANTHRACITE CAP INC		037023108	16	000000027000	SH		DEFINED	01
APPLIED MICRO CIRCUITS CORP		03822W406	96	000000011900	SH		DEFINED	01
ARENA PHARMACEUTICALS INC		040047102	54	000000011000	SH		DEFINED	01
ARLINGTON ASSET INVT CORP		041356106	26	000000069100	SH		DEFINED	01
ARMSTRONG WORLD INDS INC NEW		04247X102	399	000000024205	SH		DEFINED	01
ARRIS GROUP INC		04269Q100	237	000000019500	SH		DEFINED	01
AXCELIS TECHNOLOGIES INC		054540109	18	000000041000	SH		DEFINED	01
BANK OF AMERICA CORPORATION		060505104	270	000000020500	SH		DEFINED	01
BANK NOVA SCOTIA HALIFAX		064149107	292	000000007805	SH		DEFINED	01
BARRICK GOLD CORP		067901108	230	000000006867	SH		DEFINED	01
BLOCKBUSTER INC		093679108	49	000000074600	SH		DEFINED	01
CANADIAN NAT RES LTD		136385101	223	000000004257	SH		DEFINED	01
CARDINAL HEALTH INC		14149Y108	647	000000021200	SH		DEFINED	01
CARTER INC		146229109	300	000000012200	SH		DEFINED	01
CASCADE BANCORP		147154108	16	000000012000	SH		DEFINED	01
CHEVRON CORP NEW		166764100	316	000000004822	SH		DEFINED	02
CHICOS FAS INC		168615102	345	000000035500	SH		DEFINED	01
CINCINNATI BELL INC NEW		171871106	39	000000013900	SH		DEFINED	01
ITY BK LYNNWOOD WASH		17770A109	34	000000014500	SH		DEFINED	01
COMCAST CORP NEW		20030N200	147	000000010443	SH		DEFINED	01
COOPER TIRE & RUBR CO		216831107	120	000000012100	SH		DEFINED	01
CORE MARK HOLDING CO INC		218681104	819	000000031455	SH		DEFINED	01
CUMMINS INC		231021106	213	000000006124	SH		DEFINED	02
DANA HOLDING CORP		235825205	845	000000661355	SH		DEFINED	01
DEERE & CO		244199105	3,995	000000100000	SH		DEFINED	01
DELTA AIR LINES INC DEL		247361702	8,189	000001414535	SH		DEFINED	01
ENCANA CORP		292505104	776	000000015701	SH		DEFINED	01

Edgar Filing: NOMURA HOLDINGS INC - Form 13F-HR

EXXON MOBIL CORP	30231G102	1,454	000000020811	SH	DEFINED	01
FTI CONSULTING INC	302941109	451	000000008900	SH	DEFINED	01
FAIRPOINT COMMUNICATIONS INC	305560104	15	000000026524	SH	DEFINED	01
FEDERAL MOGUL CORP	313549404	809	000000085616	SH	DEFINED	01
FIFTH THIRD BANCORP	316773100	153	000000021600	SH	DEFINED	01
FIRST PL FINL CORP	33610T109	32	000000010500	SH	DEFINED	01
FRONTIER FINL CORP WASH	35907K105	38	000000033000	SH	DEFINED	01
GOLDMAN SACHS GROUP INC	38141G104	5,012	000000034000	SH	DEFINED	01
GRACE W R & CO DEL NEW	38388F108	163	000000013221	SH	DEFINED	01
GROUP 1 AUTOMOTIVE INC	398905109	243	000000009350	SH	DEFINED	01
HANMI FINL CORP	410495105	35	000000020200	SH	DEFINED	01
HEALTHSOUTH CORP	421924309	248	000000017200	SH	DEFINED	01
HEWLETT PACKARD CO	428236103	204	000000005291	SH	DEFINED	01
HOME DEPOT INC	437076102	1,181	000000050000	SH	DEFINED	01
HORNBECK OFFSHORE SVCS INC N	440543106	243	000000011388	SH	DEFINED	01
HUTCHINSON TECHNOLOGY INC	448407106	48	000000024900	SH	DEFINED	01
ICO GLOBAL COMM HLDGS LTD DE	44930K108	7	000000011800	SH	DEFINED	01
IDENIX PHARMACEUTICALS INC	45166R204	1,171	000000301476	SH	DEFINED	02
IMPERIAL OIL LTD	453038408	537	000000013967	SH	DEFINED	01
INNOPHOS HOLDINGS INC	45774N108	205	000000012140	SH	DEFINED	01
INTERCONTINENTALEXCHANGE INC	45865V100	759	000000006650	SH	DEFINED	01
ISHARES INC	464286400	1,644	000000031050	SH	DEFINED	01
ISHARES INC	464286731	1,508	000000149500	SH	DEFINED	01
ISHARES TR	464287234	17,397	000000539800	SH	DEFINED	01
ISHARES TR	464287432	2,714	000000028700	SH	DEFINED	01
ISHARES TR	464287465	9,643	000000210500	SH	DEFINED	01
JPMORGAN CHASE & CO	46625H100	1,732	000000050806	SH	DEFINED	01
LEE ENTERPRISES INC	523768109	6	000000011600	SH	DEFINED	01
MACROVISION SOLUTIONS CORP	55611C108	383	000000017600	SH	DEFINED	01
MANNKIND CORP	56400P201	223	000000026900	SH	DEFINED	01
MATTSON TECHNOLOGY INC	577223100	50	000000043200	SH	DEFINED	01
MCG CAPITAL CORP	58047P107	60	000000024700	SH	DEFINED	01
MEDCO HEALTH SOLUTIONS INC	58405U102	346	000000007600	SH	DEFINED	01
MERIDIAN RESOURCE CORP	58977Q109	4	000000014200	SH	DEFINED	01
MIDWEST BANC HOLDINGS INC	598251106	8	000000011000	SH	DEFINED	01
NRG ENERGY INC	629377508	476	000000018350	SH	DEFINED	01
NYSE EURONEXT	629491101	1,427	000000052400	SH	DEFINED	01
NEKTAR THERAPEUTICS	640268108	95	000000014800	SH	DEFINED	01
ODYSSEY RE HLDGS CORP	67612W108	339	000000008500	SH	DEFINED	01
PACIFIC SUNWEAR CALIF INC	694873100	121	000000035800	SH	DEFINED	01
POTASH CORP SASK INC	73755L107	216	000000002323	SH	DEFINED	01
POWERSHARES QQQ TRUST	73935A104	2,564	000000070500	SH	DEFINED	01
PRUDENTIAL FINL INC	744320102	753	000000020250	SH	DEFINED	01
RAIT FINANCIAL TRUST	749227104	37	000000027600	SH	DEFINED	01
RF MICRODEVICES INC	749941100	434	000000115600	SH	DEFINED	01
RALCORP HLDGS INC NEW	751028101	536	000000008800	SH	DEFINED	01
REALTY INCOME CORP	756109104	394	000000018000	SH	DEFINED	01
RESEARCH IN MOTION LTD	760975102	287	000000004043	SH	DEFINED	01
RETAIL HOLDRS TR	76127U101	2,990	000000038600	SH	DEFINED	01
ROWAN COS INC	779382100	248	000000013103	SH	DEFINED	02
ROYAL BK CDA MONTREAL QUE	780087102	772	000000018910	SH	DEFINED	01
ROYAL GOLD INC	780287108	254	000000006100	SH	DEFINED	01
SPDR GOLD TRUST	78463V107	49,301	000000540707	SH	DEFINED	01
SPDR SERIES TRUST	78464A714	3,003	000000108400	SH	DEFINED	01
SANMINA SCI CORP	800907107	49	000000113400	SH	DEFINED	01
SCHLUMBERGER LTD	806857108	300	000000005635	SH	DEFINED	02
SCOTTS MIRACLE GRO CO	810186106	248	000000007090	SH	DEFINED	01
SEALY CORP	812139301	30	000000015600	SH	DEFINED	01
SEMICONDUCTOR HLDRS TR	816636203	626	000000029200	SH	DEFINED	01
SENIOR HSG PPTYS TR	81721M109	221	000000013600	SH	DEFINED	01
SKYWORKS SOLUTIONS INC	83088M102	132	000000013500	SH	DEFINED	01
SOLUTIA INC	834376501	1,103	000000191611	SH	DEFINED	01

Edgar Filing: NOMURA HOLDINGS INC - Form 13F-HR

STERLITE INDS INDIA LTD	859737207	2,080	000000166995	SH	DEFINED	02
STIFEL FINL CORP	860630102	201	000000004200	SH	DEFINED	01
STRATEGIC HOTELS & RESORTS I	86272T106	59	000000053500	SH	DEFINED	01
SUNCOR ENERGY INC	867229106	226	000000007468	SH	DEFINED	01
SUNSTONE HOTEL INVS INC NEW	867892101	156	000000029200	SH	DEFINED	01
TALBOTS INC	874161102	160	000000029700	SH	DEFINED	01
TARGACEPT INC	87611R306	2,850	000001163288	SH	DEFINED	02
TEXAS INSTRS INC	882508104	958	000000045000	SH	DEFINED	01
THOMAS PPTYS GROUP INC	884453101	16	000000010600	SH	DEFINED	01
3COM CORP	885535104	498	000000105400	SH	DEFINED	01
TORONTO DOMINION BK ONT	891160509	350	000000006778	SH	DEFINED	01
TRIQUINT SEMICONDUCTOR INC	89674K103	76	000000014500	SH	DEFINED	01
TYSON FOODS INC	902494103	243	000000019500	SH	DEFINED	02
UCBH HOLDINGS INC	90262T308	22	000000018100	SH	DEFINED	01
VALEANT PHARMACEUTICALS INTL	91911X104	241	000000009400	SH	DEFINED	01
WALTER INVT MGMT CORP	93317W102	361	000000027200	SH	DEFINED	01
WORLD FUEL SVCS CORP	981475106	243	000000005900	SH	DEFINED	01
WORTHINGTON INDS INC	981811102	149	000000011700	SH	DEFINED	01
XEROX CORP	984121103	528	000000081505	SH	DEFINED	01
ZORAN CORP	98975F101	80	000000007400	SH	DEFINED	01