

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

NOMURA HOLDINGS INC  
Form 13F-HR  
February 12, 2010

OMB APPROVAL  
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OMB Number:  
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UNITED STATES  
SECURITIES AND EXCHANGE COMMISSION  
Washington, D.C. 20549

FORM 13F

FORM 13f Cover Page

Report for the Calendar Year or Quarter Ended December 31, 2010

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

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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 February 12, 2010

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

Report Type:

- 13F HOLDINGS REPORT.
- 13F NOTICE.
- 13F COMBINATION REPORT.

Form 13F SUMMARY PAGE

Report Summary:

Number of Other Included Managers:            4

Form 13F Information Table Entry Total:    179

Form 13F Information Table Value Total:    942,319,077

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:

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6. 28-05739            Global Funds Management, S.A.  
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2. 28-04985 Nomura International plc  
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4. 28-04993 Nomura Securities (Bermuda)  
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1. 28-04983 Nomura Securities International, Inc.  
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INFORMATION TABLE  
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NAME OF ISSUER	TITLE OF CLASS	CUSIP	VALUE X1000	SHARES PRN AMT	SH PUT PRN CALL	INVTMT DCRETN	OT MAN
0							
CONSOLIDATED WATER CO INC		G23773107	188	000000013218	SH	DEFINED	01
MARVELL TECHNOLOGY GROUP LTD		G5876H105	265	000000012700	SH	DEFINED	02
SEAGATE TECHNOLOGY		G7945J104	298	000000016400	SH	DEFINED	02
XL CAP LTD		G98255105	1,454	000000079350	SH	DEFINED	01
ALCON INC		H01301102	20,715	000000126047	SH	DEFINED	01
MILLICOM INTL CELLULAR S A		L6388F110	855	000000011600	SH	DEFINED	01
ADOBE SYS INC		00724F101	227	000000006186	SH	DEFINED	01
ADVANCED BATTERY TECHNOLOG I		00752H102	594	000000148653	SH	DEFINED	01
ADVANCED MICRO DEVICES INC		007903107	482	000000050000	SH	DEFINED	02
AETNA INC NEW		00817Y108	8,659	000000269900	SH	DEFINED	02
ALCOA INC		013817101	89,706	000005564906	SH	DEFINED	01
ALLEGHENY TECHNOLOGIES INC		01741R102	299	000000006697	SH	DEFINED	02
ALLIS CHALMERS ENERGY INC		019645506	73	000000019400	SH	DEFINED	01
ALTAIR NANOTECHNOLOGIES INC		021373105	79	000000090775	SH	DEFINED	01
AMERICAN EAGLE OUTFITTERS NE		02553E106	889	000000052363	SH	DEFINED	01
AMERICAN EAGLE OUTFITTERS NE		02553E106	243	000000014353	SH	DEFINED	02
AMERICAN INTL GROUP INC		026874784	613	000000020473	SH	DEFINED	01
AMERON INTL INC		030710107	713	000000011243	SH	DEFINED	01
A123 SYS INC		03739T108	224	000000010000	SH	DEFINED	01
ARCELORMITTAL SA LUXEMBOURG		03938L104	336	000000007350	SH	DEFINED	01

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ARMSTRONG WORLD INDS INC NEW	04247X102	248	000000006381	SH	DEFINED	01
ASCENT SOLAR TECHNOLOGIES IN	043635101	150	000000028404	SH	DEFINED	01
AUTOLIV INC	052800109	468	000000010800	SH	DEFINED	02
BANK OF AMERICA CORPORATION	060505104	5,768	000000383090	SH	DEFINED	01
BANK OF NEW YORK MELLON CORP	064058100	4,083	000000145987	SH	DEFINED	01
BARCLAYS BK PLC	06739F291	787	000000012296	SH	DEFINED	01
BAXTER INTL INC	071813109	17,389	000000296340	SH	DEFINED	01
BEACON POWER CORP	073677106	72	000000145780	SH	DEFINED	01
BIOSANTE PHARMACEUTICALS INC	09065V203	61	000000042300	SH	DEFINED	01
BRISTOL MYERS SQUIBB CO	110122108	1,213	000000048053	SH	DEFINED	01
CIGNA CORP	125509109	27,992	000000793662	SH	DEFINED	01
CIT GROUP INC	125581801	5,013	000000181595	SH	DEFINED	01
CIT GROUP INC	125581801	1,100	000000039847	SH	DEFINED	01
CIT GROUP INC	125581801	6,888	000000249485	SH	DEFINED	02
CALGON CARBON CORP	129603106	383	000000027575	SH	DEFINED	01
CANADIAN SOLAR INC	136635109	1,913	000000066400	SH	DEFINED	02
CARNIVAL CORP	143658300	2,274	000000071772	SH	DEFINED	02
CARTER INC	146229109	11,828	000000450599	SH	DEFINED	01
CENTRAL PAC FINL CORP	154760102	196	000000150000	SH	DEFINED	01
CHESAPEAKE ENERGY CORP	165167107	907	000000035000	SH	DEFINED	02
CHEVRON CORP NEW	166764100	247	000000003207	SH	DEFINED	02
CITIGROUP INC	172967101	279	000000084300	SH	DEFINED	01
CITIGROUP INC	172967101	2,693	000000805101	SH	DEFINED	02
CITIGROUP INC	172967101	397	000000120200	SH	DEFINED	04
COCA COLA CO	191216100	514	000000009000	SH	DEFINED	02
COLGATE PALMOLIVE CO	194162103	456	000000005500	SH	DEFINED	02

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INFORMATION TABLE

QUARTER ENDING

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NAME OF ISSUER	TITLE	CUSIP	VALUE	SHARES	SH	PUT	INVSTMT	OT
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	OF CLASS	X1000	PRN AMT	PRN CALL	DSCRETN	MAN
0CON-WAY INC	205944101	243	000000006981	SH	DEFINED	01
CONTINENTAL AIRLS INC	210795308	1,751	000000097721	SH	DEFINED	01
CUMMINS INC	231021106	313	000000006845	SH	DEFINED	02
DANA HOLDING CORP	235825205	5,987	000000552349	SH	DEFINED	01
DANA HOLDING CORP	235825205	550	000000050781	SH	DEFINED	01
DELTA AIR LINES INC DEL	247361702	302	000000026624	SH	DEFINED	01
DELTA AIR LINES INC DEL	247361702	4,950	000000435000	SH	DEFINED	02
DINEEQUITY INC	254423106	297	000000012300	SH	DEFINED	02
DOW CHEM CO	260543103	2,476	000000089641	SH	DEFINED	01
EMCORE CORP	290846104	86	000000080994	SH	DEFINED	01
ENERGY CONVERSION DEVICES IN	292659109	158	000000015000	SH	DEFINED	01
ENER1 INC	29267A203	598	000000094415	SH	DEFINED	01
EVERGREEN SOLAR INC	30033R108	406	000000268946	SH	DEFINED	01
EXELON CORP	30161N101	3,348	000000068522	SH	DEFINED	01
EXPEDITORS INTL WASH INC	302130109	1,127	000000032441	SH	DEFINED	01
EXPEDITORS INTL WASH INC	302130109	241	000000006940	SH	DEFINED	02
FTI CONSULTING INC	302941109	466	000000009900	SH	DEFINED	01
FEDERAL MOGUL CORP	313549404	1,421	000000082190	SH	DEFINED	01
FREEPORT-MCMORAN COPPER & GO	35671D782	2,262	000000019675	SH	DEFINED	01
FREEPORT-MCMORAN COPPER & GO	35671D782	1,670	000000014525	SH	DEFINED	01
FREEPORT-MCMORAN COPPER & GO	35671D857	808	000000010000	SH	DEFINED	02
FUELCELL ENERGY INC	35952H106	697	000000185597	SH	DEFINED	01
GENERAL ELECTRIC CO	369604103	1,150	000000076048	SH	DEFINED	01
GENWORTH FINL INC	37247D106	1,057	000000093210	SH	DEFINED	01
GEORGIA GULF CORP	373200302	322	000000018529	SH	DEFINED	01
GEORGIA GULF CORP	373200302	2,425	000000139581	SH	DEFINED	01
GERDAU S A	373737105	371	000000021800	SH	DEFINED	04
GILEAD SCIENCES INC	375558103	1,817	000000042000	SH	DEFINED	01
GOLDMAN SACHS GROUP INC	38141G104	891	000000005283	SH	DEFINED	01
GOLDMAN SACHS GROUP INC	38141G104	419	000000002490	SH	DEFINED	02

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GRACE W R & CO DEL NEW	38388F108	307	000000012121	SH	DEFINED	01
GROUP 1 AUTOMOTIVE INC	398905109	245	000000008650	SH	DEFINED	01
GUSHAN ENVIRONMENTAL ENRGY L	40330W106	111	000000084346	SH	DEFINED	01
HARRIS & HARRIS GROUP INC	413833104	94	000000020689	SH	DEFINED	01
HEALTH MGMT ASSOC INC NEW	421933102	687	000000094600	SH	DEFINED	02
HONEYWELL INTL INC	438516106	246	000000006300	SH	DEFINED	01
HORNBECK OFFSHORE SVCS INC N	440543106	255	000000010988	SH	DEFINED	01
HUNTINGTON BANCSHARES INC	446150104	79	000000021740	SH	DEFINED	02
ITT EDUCATIONAL SERVICES INC	45068B109	777	000000008102	SH	DEFINED	01
IDENIX PHARMACEUTICALS INC	45166R204	664	000000301476	SH	DEFINED	02
ILLINOIS TOOL WKS INC	452308109	210	000000004359	SH	DEFINED	02
INNOPHOS HOLDINGS INC	45774N108	278	000000012140	SH	DEFINED	01
ISHARES INC	464286848	119	000000012268	SH	DEFINED	02
ISHARES TR INDEX	464287184	223	000000005292	SH	DEFINED	02
ISHARES TR INDEX	464287234	10,441	000000251614	SH	DEFINED	02
ISHARES TR INDEX	464287598	237	000000004144	SH	DEFINED	02
ITAU UNIBANCO HLDG SA	465562106	328	000000014400	SH	DEFINED	01
IVANHOE MINES LTD	46579N103	642	000000044000	SH	DEFINED	01

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QUARTER ENDING

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NAME OF ISSUER	TITLE	CUSIP	VALUE	SHARES	SH	PUT	INVSTMT	OT
	OF CLASS		X1000	PRN AMT	PRN	CALL	DSCRETN	MAN
0JPMORGAN CHASE & CO		46625H100	2,306	000000055361	SH		DEFINED	01
JPMORGAN CHASE & CO		46625H100	387	000000009300	SH		DEFINED	01
JPMORGAN CHASE & CO		46625H100	2,358	000000056400	SH		DEFINED	02
JOHNSON CTLS INC		478366107	321	000000011800	SH		DEFINED	01
LAYNE CHRISTENSEN CO		521050104	457	000000015922	SH		DEFINED	01
LEAP WIRELESS INTL INC		521863308	1,379	000000078583	SH		DEFINED	01

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LEAR CORP	521865204	1,233	000000018234	SH	DEFINED	01
LEAR CORP	521865204	139	000000002058	SH	DEFINED	01
LINCOLN ELEC HLDGS INC	533900106	261	000000004890	SH	DEFINED	02
MBIA INC	55262C100	78	000000019800	SH	DEFINED	01
MARKET VECTORS ETF TR	57060U100	1,224	000000026500	SH	DEFINED	01
MAXWELL TECHNOLOGIES INC	577767106	523	000000029327	SH	DEFINED	01
MCKESSON CORP	58155Q103	9,927	000000158832	SH	DEFINED	01
MEAD JOHNSON NUTRITION CO	582839106	743	000000017011	SH	DEFINED	01
MEDTRONIC INC	585055106	1,235	000000028096	SH	DEFINED	01
MICROSOFT CORP	594918104	805	000000026424	SH	DEFINED	01
MICROSOFT CORP	594918104	319	000000010369	SH	DEFINED	02
MIRANT CORP NEW	60467R100	168	000000011046	SH	DEFINED	01
MOSAIC CO	61945A107	1,738	000000029098	SH	DEFINED	01
MOTOROLA INC	620076109	157	000000020530	SH	DEFINED	02
MYLAN INC	628530107	2,451	000000133043	SH	DEFINED	01
NRG ENERGY INC	629377508	9,694	000000410660	SH	DEFINED	01
NYSE EURONEXT	629491101	1,325	000000052400	SH	DEFINED	01
NORTHWEST PIPE CO	667746101	634	000000023627	SH	DEFINED	01
NVIDIA CORP	67066G104	332	000000017700	SH	DEFINED	02
OM GROUP INC	670872100	391	000000012478	SH	DEFINED	01
OIL SVC HOLDRS TR	678002106	1,555	000000013088	SH	DEFINED	01
PEABODY ENERGY CORP	704549104	1,657	000000036700	SH	DEFINED	02
PETROLEO BRASILEIRO SA PETRO	71654V408	238	000000005000	SH	DEFINED	01
PFIZER INC	717081103	7,394	000000406494	SH	DEFINED	01
PHILIP MORRIS INTL INC	718172109	1,741	000000036143	SH	DEFINED	01
PLUG POWER INC	72919P103	27	000000038902	SH	DEFINED	01
POWERSHARES QQQ TRUST	73935A104	72,097	000001575905	SH	DEFINED	01
POWERSHARES INDIA ETF TR	73935L100	366	000000016614	SH	DEFINED	01
PRUDENTIAL FINL INC	744320102	1,447	000000029084	SH	DEFINED	01
QUANTUM FUEL SYS TECH WORLDW	74765E109	108	000000097811	SH	DEFINED	01
QWEST COMMUNICATIONS INTL IN	749121109	43	000000010340	SH	DEFINED	01

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RTI INTL METALS INC	74973W107	387	000000015400	SH	DEFINED	02
RASER TECHNOLOGIES INC	754055101	166	000000133929	SH	DEFINED	01
REGIONS FINANCIAL CORP NEW	7591EP100	807	000000152667	SH	DEFINED	01
REGIONS FINANCIAL CORP NEW	7591EP100	78	000000014980	SH	DEFINED	02
RENESOLA LTD	75971T103	95	000000020000	SH	DEFINED	01
RETAIL HOLDRS TR	76127U101	3,889	000000041450	SH	DEFINED	01
ROWAN COS INC	779382100	298	000000013103	SH	DEFINED	02
SLM CORP	78442P106	1,637	000000145275	SH	DEFINED	01
SPDR TR	78462F103	56,865	000000510275	SH	DEFINED	01

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NAME OF ISSUER	TITLE OF CLASS	CUSIP	VALUE X1000	SHARES PRN AMT	SH PUT PRN CALL	INVSTMT DISCRETN	OT MAN
0SPDR GOLD TRUST		78463V107	92,887	000000865599	SH	DEFINED	01
SPDR SERIES TRUST		78464A755	2,952	000000057200	SH	DEFINED	02
ST JUDE MED INC		790849103	4,024	000000109418	SH	DEFINED	01
SANDERSON FARMS INC		800013104	660	000000015670	SH	DEFINED	02
SARA LEE CORP		803111103	487	000000040000	SH	DEFINED	01
SCOTTS MIRACLE GRO CO		810186106	361	000000009190	SH	DEFINED	01
SELECT SECTOR SPDR TR		81369Y100	385	000000011700	SH	DEFINED	01
SELECT SECTOR SPDR TR		81369Y605	1,049	000000072900	SH	DEFINED	02
SELECT SECTOR SPDR TR		81369Y704	208	000000007492	SH	DEFINED	02
SELECT SECTOR SPDR TR		81369Y886	266	000000008607	SH	DEFINED	02
SEMICONDUCTOR HLDRS TR		816636203	9,282	000000332450	SH	DEFINED	01
SHANDA GAMES LTD		81941U105	41,034	000004026929	SH	DEFINED	01
SILGAN HOLDINGS INC		827048109	1,447	000000025000	SH	DEFINED	01
SOLARFUN POWER HOLDINGS CO L		83415U108	152	000000020000	SH	DEFINED	01
SOLUTIA INC		834376501	2,124	000000167289	SH	DEFINED	01



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SOLUTIA INC	834376501	167	000000013222	SH	DEFINED	01
SOUTHWESTERN ENERGY CO	845467109	6,092	000000126404	SH	DEFINED	02
STAPLES INC	855030102	5,065	000000205995	SH	DEFINED	01
SUN MICROSYSTEMS INC	866810203	4,169	000000445000	SH	DEFINED	01
SUNCOR ENERGY INC NEW	867224107	860	000000024365	SH	DEFINED	01
SYMYX TECHNOLOGIES	87155S108	88	000000016025	SH	DEFINED	01
TAIWAN SEMICONDUCTOR MFG LTD	874039100	3,415	000000300000	SH	DEFINED	02
TAKE-TWO INTERACTIVE SOFTWARE	874054109	6,332	000000630091	SH	DEFINED	01
TARGACEPT INC	87611R306	5,467	000000259439	SH	DEFINED	02
TIFFANY & CO NEW	886547108	318	000000007418	SH	DEFINED	02
TYSON FOODS INC	902494103	643	000000052420	SH	DEFINED	02
UAL CORP	902549807	129	000000010000	SH	DEFINED	04
US BANCORP DEL	902973304	980	000000043569	SH	DEFINED	01
UQM TECHNOLOGIES INC	903213106	184	000000026900	SH	DEFINED	01
UNITED PARCEL SERVICE INC	911312106	213	000000003700	SH	DEFINED	02
UNITED STATES STL CORP NEW	912909108	16,010	000000290470	SH	DEFINED	01
UNITEDHEALTH GROUP INC	91324P102	44,257	000001452014	SH	DEFINED	01
VCA ANTECH INC	918194101	686	000000027530	SH	DEFINED	02
VALERO ENERGY CORP NEW	91913Y100	1,736	000000103688	SH	DEFINED	01
VEOLIA ENVIRONNEMENT	92334N103	685	000000020834	SH	DEFINED	01
VIRGIN MEDIA INC	92769L101	2,742	000000162338	SH	DEFINED	02
VISA INC	92826C839	207,678	000002374554	SH	DEFINED	01
WELLPOINT INC	94973V107	6,547	000000112328	SH	DEFINED	01
WELLS FARGO & CO NEW	949746101	3,072	000000113825	SH	DEFINED	01
WELLS FARGO & CO NEW	949746101	587	000000021700	SH	DEFINED	02
WYNN RESORTS LTD	983134107	267	000000004590	SH	DEFINED	02
ZOLTEK COS INC	98975W104	303	000000031924	SH	DEFINED	01