

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

NOMURA HOLDINGS INC  
Form 13F-HR  
November 10, 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 September 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

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

1Page

1

07-08-13 14:21:1

FORM 13F

INFORMATION TABLE

QUARTER ENDING

09/30/2009

NAME OF ISSUER	TITLE OF CLASS	CUSIP	VALUE X1000	SHARES PRN AMT	SH PRN	PUT CALL	INVSTMT DSCRETN	OT MAN
0								
DEUTSCHE BANK AG		D18190898	70,810	000000970000	SH		DEFINED	01
ACCENTURE LTD BERMUDA		G1150G111	16,912	000000455922	SH		DEFINED	02
COVIDIEN PLC		G2554F105	38,558	000000891321	SH		DEFINED	02
UTI WORLDWIDE INC		G87210103	6,789	000000468893	SH		DEFINED	02
XL CAP LTD		G98255105	1,086	000000064700	SH		DEFINED	01
MILLICOM INTL CELLULAR S A		L6388F110	824	000000011600	SH		DEFINED	01
AFLAC INC		001055102	949	000000022503	SH		DEFINED	02
AES CORP		00130H105	1,936	000000140000	SH		DEFINED	01
AMR CORP		001765106	179	000000022583	SH		DEFINED	02
AT&T INC		00206R102	1,613	000000059721	SH		DEFINED	02
ABBOTT LABS		002824100	1,096	000000022475	SH		DEFINED	02
AETNA INC NEW		00817Y108	11,394	000000409433	SH		DEFINED	02
AGRIUM INC		008916108	32,842	000000659630	SH		DEFINED	02
AIR PRODS & CHEMS INC		009158106	1,735	000000022509	SH		DEFINED	02
AIRTRAN HLDGS INC		00949P108	3,290	000000526424	SH		DEFINED	02
ALCOA INC		013817101	16,249	000001257700	SH		DEFINED	01
ALLEGHENY TECHNOLOGIES INC		01741R102	788	000000022530	SH		DEFINED	02
ALLIS CHALMERS ENERGY INC		019645506	84	000000019400	SH		DEFINED	01
ALTERA CORP		021441100	460	000000022541	SH		DEFINED	02
AMAZON COM INC		023135106	26,821	000000291615	SH		DEFINED	02
AMERICAN EAGLE OUTFITTERS NE		02553E106	4,916	000000291619	SH		DEFINED	02
AMERICAN EXPRESS CO		025816109	761	000000022570	SH		DEFINED	02
AMERICAN INTL GROUP INC		026874784	995	000000022577	SH		DEFINED	02
AMERICAN TOWER CORP		029912201	11,308	000000311992	SH		DEFINED	02
AMERICREDIT CORP		03060R101	240	000000016000	SH		DEFINED	01
AMGEN INC		031162100	4,122	000000069878	SH		DEFINED	01
ANALOG DEVICES INC		032654105	621	000000022591	SH		DEFINED	02
APACHE CORP		037411105	2,073	000000022600	SH		DEFINED	02
APOLLO GROUP INC		037604105	23,470	000000323769	SH		DEFINED	02
APPLIED MATLS INC		038222105	157	000000012200	SH		DEFINED	01
AQUA AMERICA INC		03836W103	5,741	000000335469	SH		DEFINED	02
ARCELORMITTAL SA LUXEMBOURG		03938L104	1,673	000000047850	SH		DEFINED	01
ARKANSAS BEST CORP DEL		040790107	12,050	000000402484	SH		DEFINED	02
ARMSTRONG WORLD INDS INC NEW		04247X102	837	000000024305	SH		DEFINED	01
ASSET ACCEP CAP CORP		04543P100	4,284	000000590937	SH		DEFINED	02
AUTOZONE INC		053332102	3,283	000000022656	SH		DEFINED	02
AVALONBAY CMNTYS INC		053484101	1,641	000000022658	SH		DEFINED	02
AVON PRODS INC		054303102	754	000000022664	SH		DEFINED	02
BB&T CORP		054937107	662	000000024119	SH		DEFINED	02

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

BAKER HUGHES INC	057224107	962	000000022670	SH	DEFINED	02
BANK OF AMERICA CORPORATION	060505104	347	000000020500	SH	DEFINED	01
BANK OF AMERICA CORPORATION	060505104	5,160	000000306370	SH	DEFINED	02
BANK OF NEW YORK MELLON CORP	064058100	7,753	000000277900	SH	DEFINED	01
BANK OF NEW YORK MELLON CORP	064058100	656	000000022733	SH	DEFINED	02
BARNES & NOBLE INC	067774109	5,480	000000246652	SH	DEFINED	02
BAXTER INTL INC	071813109	8,651	000000155300	SH	DEFINED	01
BED BATH & BEYOND INC	075896100	840	000000022703	SH	DEFINED	02

1Page 2  
0

FORM 13F  
INFORMATION TABLE  
QUARTER ENDING  
09/30/2009

NAME OF ISSUER	TITLE OF CLASS	CUSIP	VALUE X1000	SHARES PRN AMT	SH PRN	PUT CALL	INVTMT DSCRETN	OT MAN
OBEST BUY INC		086516101	852	000000022716	SH		DEFINED	02
BLACKROCK INC		09247X101	105,228	000000485328	SH		DEFINED	02
BOEING CO		097023105	1,222	000000022743	SH		DEFINED	02
BOSTON PROPERTIES INC		101121101	21,839	000000334425	SH		DEFINED	02
BOSTON SCIENTIFIC CORP		101137107	236	000000022750	SH		DEFINED	02
BOYD GAMING CORP		103304101	3,662	000000335053	SH		DEFINED	02
BRINKER INTL INC		109641100	358	000000022762	SH		DEFINED	02
BRINKS CO		109696104	643	000000023903	SH		DEFINED	02
BRISTOL MYERS SQUIBB CO		110122108	513	000000022763	SH		DEFINED	02
BROADCOM CORP		111320107	10,138	000000334426	SH		DEFINED	02
BURLINGTON NORTHN SANTA FE C		12189T104	1,809	000000022782	SH		DEFINED	02
CF INDS HLDGS INC		125269100	75,413	000000874564	SH		DEFINED	02
CME GROUP INC		12572Q105	164,801	000000534741	SH		DEFINED	02
CSX CORP		126408103	963	000000022986	SH		DEFINED	02
CA INC		12673P105	504	000000022930	SH		DEFINED	02
CABLEVISION SYS CORP		12686C109	6,050	000000256830	SH		DEFINED	02
CALPINE CORP		131347304	246	000000022300	SH		DEFINED	01
CAMERON INTERNATIONAL CORP		13342B105	12,648	000000334428	SH		DEFINED	02
CANADIAN NAT RES LTD		136385101	40,631	000000604724	SH		DEFINED	02
CAPITAL ONE FINL CORP		14040H105	744	000000022128	SH		DEFINED	01
CAPITAL ONE FINL CORP		14040H105	804	000000022812	SH		DEFINED	02
CARNIVAL CORP		143658300	74	000000022813	SH		DEFINED	02
CATERPILLAR INC DEL		149123101	1,168	000000022827	SH		DEFINED	02
CHESAPEAKE ENERGY CORP		165167107	7,298	000000258822	SH		DEFINED	02
CHEVRON CORP NEW		166764100	1,605	000000022865	SH		DEFINED	02
CHINA MED TECHNOLOGIES INC		169483104	11,923	000000735131	SH		DEFINED	02
CHIQUITA BRANDS INTL INC		170032809	562	000000035400	SH		DEFINED	01
CHUBB CORP		171232101	1,154	000000022876	SH		DEFINED	02
CISCO SYS INC		17275R102	235	000000010200	SH		DEFINED	01
CISCO SYS INC		17275R102	535	000000022890	SH		DEFINED	02
CITIGROUP INC		172967101	53	000000011800	SH		DEFINED	01
CITIGROUP INC		172967101	1,414	000000306550	SH		DEFINED	02
CITRIX SYS INC		177376100	11,222	000000291691	SH		DEFINED	02
COACH INC		189754104	14,498	000000444274	SH		DEFINED	02
COCA COLA CO		191216100	1,216	000000022908	SH		DEFINED	02
COGNIZANT TECHNOLOGY SOLUTIO		192446102	17,432	000000454915	SH		DEFINED	02
COLGATE PALMOLIVE CO		194162103	1,749	000000022914	SH		DEFINED	02
COMMERCIAL METALS CO		201723103	6,007	000000335139	SH		DEFINED	02
CONOCOPHILLIPS		20825C104	300	000000006600	SH		DEFINED	01
CONOCOPHILLIPS		20825C104	1,073	000000023891	SH		DEFINED	02
CONSOL ENERGY INC		20854P109	19,385	000000435390	SH		DEFINED	02
CONTINENTAL AIRLS INC		210795308	4,729	000000313600	SH		DEFINED	01
CONTINENTAL AIRLS INC		210795308	377	000000022938	SH		DEFINED	02
CORNING INC		219350105	350	000000022962	SH		DEFINED	02
COSTCO WHSL CORP NEW		22160K105	19,767	000000351773	SH		DEFINED	02
CUMMINS INC		231021106	1,012	000000022989	SH		DEFINED	02

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

1Page 3  
0

09-11-06 15:58:5

FORM 13F  
INFORMATION TABLE  
QUARTER ENDING  
09/30/2009

NAME OF ISSUER	TITLE OF CLASS	CUSIP	VALUE X1000	SHARES PRN AMT	SH PRN CALL	PUT	INVTMT DCRETN	OT MAN
OD R HORTON INC		23331A109	3,584	000000335182	SH		DEFINED	02
DANA HOLDING CORP		235825205	3,880	000000569794	SH		DEFINED	01
DANA HOLDING CORP		235825205	366	000000053796	SH		DEFINED	01
DANAHER CORP DEL		235851102	1,534	000000022998	SH		DEFINED	02
DARDEN RESTAURANTS INC		237194105	755	000000022999	SH		DEFINED	02
DEERE & CO		244199105	978	000000023009	SH		DEFINED	02
DELL INC		24702R101	1,100	000000072700	SH		DEFINED	01
DELL INC		24702R101	349	000000023011	SH		DEFINED	02
DELTA AIR LINES INC DEL		247361702	43	000000004851	SH		DEFINED	01
DELTA AIR LINES INC DEL		247361702	533	000000059562	SH		DEFINED	01
DELTA AIR LINES INC DEL		247361702	8,655	000001063372	SH		DEFINED	01
DIRECTV GROUP INC		25459L106	16,097	000000583650	SH		DEFINED	02
DONNELLEY R R & SONS CO		257867101	769	000000037100	SH		DEFINED	01
DOW CHEM CO		260543103	254	000000010400	SH		DEFINED	01
DUKE REALTY CORP		264411505	157	000000013800	SH		DEFINED	01
E M C CORP MASS		268648102	391	000000023092	SH		DEFINED	02
ENSCO INTL INC		26874Q100	979	000000023101	SH		DEFINED	02
EBAY INC		278642103	8,120	000000349635	SH		DEFINED	02
EMERSON ELEC CO		291011104	917	000000023093	SH		DEFINED	02
ENCANA CORP		292505104	32,462	000000563492	SH		DEFINED	02
EQUITY RESIDENTIAL		29476L107	1,728	000000056555	SH		DEFINED	02
EXELON CORP		30161N101	782	000000016147	SH		DEFINED	01
EXELON CORP		30161N101	1,176	000000023863	SH		DEFINED	02
EXPEDITORS INTL WASH INC		302130109	11,665	000000335205	SH		DEFINED	02
EXXON MOBIL CORP		30231G102	225	000000003350	SH		DEFINED	01
EXXON MOBIL CORP		30231G102	24,390	000000355619	SH		DEFINED	02
FTI CONSULTING INC		302941109	421	000000009900	SH		DEFINED	01
FEDERAL MOGUL CORP		313549404	992	000000082190	SH		DEFINED	01
FEDERAL REALTY INVT TR		313747206	1,414	000000023140	SH		DEFINED	02
FIFTH THIRD BANCORP		316773100	246	000000026100	SH		DEFINED	01
FIFTH THIRD BANCORP		316773100	230	000000023149	SH		DEFINED	02
FIRST SOLAR INC		336433107	133,492	000000869714	SH		DEFINED	02
FLUOR CORP NEW		343412102	20,661	000000410480	SH		DEFINED	02
FORD MTR CO DEL		345370860	170	000000023182	SH		DEFINED	02
FRANKLIN RES INC		354613101	201	000000002077	SH		DEFINED	01
FREEPORT-MCMORAN COPPER & GO		35671D782	3,777	000000036675	SH		DEFINED	01
FREEPORT-MCMORAN COPPER & GO		35671D782	4,895	000000047525	SH		DEFINED	01
GAP INC DEL		364760108	492	000000023215	SH		DEFINED	02
GAYLORD ENTMT CO NEW		367905106	227	000000012600	SH		DEFINED	01
GEORGIA GULF CORP		373200302	4,187	000000139579	SH		DEFINED	01
GEORGIA GULF CORP		373200302	555	000000018529	SH		DEFINED	01
GOLDMAN SACHS GROUP INC		38141G104	6,774	000000037850	SH		DEFINED	01
GOLDMAN SACHS GROUP INC		38141G104	63,315	000000344705	SH		DEFINED	02
GRACE W R & CO DEL NEW		38388F108	263	000000012121	SH		DEFINED	01
GREENHILL & CO INC		395259104	54,523	000000608653	SH		DEFINED	02
GROUP 1 AUTOMOTIVE INC		398905109	232	000000008650	SH		DEFINED	01
HCP INC		40414L109	1,596	000000055891	SH		DEFINED	02
HALLIBURTON CO		406216101	625	000000023295	SH		DEFINED	02
HARTFORD FINL SVCS GROUP INC		416515104	631	000000023445	SH		DEFINED	02

1Page 4  
0

09-11-06 15:58:5

FORM 13F  
INFORMATION TABLE  
QUARTER ENDING  
09/30/2009

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

NAME OF ISSUER	TITLE OF CLASS	CUSIP	VALUE X1000	SHARES PRN AMT	SH PRN	PUT CALL	INVSTMT DCRETN	OT MAN
OHATTERAS FINL CORP		41902R103	29,328	000000978273	SH		DEFINED	02
HEALTH CARE REIT INC		42217K106	10,317	000000246734	SH		DEFINED	02
HECLA MNG CO		422704106	101	000000023325	SH		DEFINED	02
HEWLETT PACKARD CO		428236103	1,091	000000023334	SH		DEFINED	02
HOME DEPOT INC		437076102	616	000000023347	SH		DEFINED	02
HONEYWELL INTL INC		438516106	13,343	000000364831	SH		DEFINED	02
HORNBECK OFFSHORE SVCS INC N		440543106	302	000000010988	SH		DEFINED	01
HOST HOTELS & RESORTS INC		44107P104	271	000000023599	SH		DEFINED	02
HUDSON CITY BANCORP		443683107	6,876	000000526735	SH		DEFINED	02
HUNT J B TRANS SVCS INC		445658107	740	000000023366	SH		DEFINED	02
ITT EDUCATIONAL SERVICES INC		45068B109	563	000000005200	SH		DEFINED	01
IDENIX PHARMACEUTICALS INC		45166R204	1,904	000000622399	SH		DEFINED	02
ILLINOIS TOOL WKS INC		452308109	994	000000023380	SH		DEFINED	02
INNOPHOS HOLDINGS INC		45774N108	224	000000012140	SH		DEFINED	01
INTEL CORP		458140100	455	000000023412	SH		DEFINED	02
INTERCONTINENTALEXCHANGE INC		45865V100	74,170	000000763152	SH		DEFINED	02
INTUITIVE SURGICAL INC		46120E602	115,737	000000453267	SH		DEFINED	02
INTUIT		461202103	8,038	000000287744	SH		DEFINED	02
ISHARES COMEX GOLD TR		464285105	75,498	000000763153	SH		DEFINED	02
ISHARES INC		464286400	39,882	000000589629	SH		DEFINED	02
SHARES INC		464286673	7,058	000000656566	SH		DEFINED	02
ISHARES INC		464286772	21,543	000000454698	SH		DEFINED	02
ISHARES INC		464286848	4,849	000000488107	SH		DEFINED	02
ISHARES INC		464286871	6,111	000000393783	SH		DEFINED	02
ISHARES TR INDEX		464287101	29,438	000000600060	SH		DEFINED	02
ISHARES TR INDEX		464287184	26,315	000000643086	SH		DEFINED	02
ISHARES TR INDEX		464287234	23,297	000000598758	SH		DEFINED	02
ISHARES TR INDEX		464287465	32,062	000000586362	SH		DEFINED	02
ISHARES TR INDEX		464287473	23,080	000000651625	SH		DEFINED	02
ISHARES TR INDEX		464287598	34,250	000000617230	SH		DEFINED	02
ISHARES TR INDEX		464287622	35,061	000000603463	SH		DEFINED	02
ISHARES TR INDEX		464287655	33,946	000000563518	SH		DEFINED	02
ISHARES TR INDEX		464287721	31,019	000000597105	SH		DEFINED	02
ISHARES TR INDEX		464287739	25,019	000000586344	SH		DEFINED	02
ISHARES TR INDEX		464287838	34,610	000000631571	SH		DEFINED	02
JDS UNIPHASE CORP		46612J507	2,076	000000292119	SH		DEFINED	02
JPMORGAN CHASE & CO		46625H100	14,113	000000341157	SH		DEFINED	01
JPMORGAN CHASE & CO		46625H100	407	000000009300	SH		DEFINED	01
JPMORGAN CHASE & CO		46625H100	1,007	000000022862	SH		DEFINED	02
JACOBS ENGR GROUP INC DEL		469814107	1,064	000000023449	SH		DEFINED	02
JETBLUE AIRWAYS CORP		477143101	227	000000041600	SH		DEFINED	01
JETBLUE AIRWAYS CORP		477143101	2,944	000000492322	SH		DEFINED	02
JOHNSON CTLS INC		478366107	595	000000023460	SH		DEFINED	02
JONES APPAREL GROUP INC		480074103	420	000000023462	SH		DEFINED	02
JOS A BANK CLOTHIERS INC		480838101	23,583	000000526770	SH		DEFINED	02
JUNIPER NETWORKS INC		48203R104	9,746	000000362392	SH		DEFINED	02

1Page 5  
0

09-11-06 15:58:5

FORM 13F  
INFORMATION TABLE  
QUARTER ENDING  
09/30/2009

NAME OF ISSUER	TITLE OF CLASS	CUSIP	VALUE X1000	SHARES PRN AMT	SH PRN	PUT CALL	INVSTMT DCRETN	OT MAN
OKB HOME		48666K109	389	000000023471	SH		DEFINED	02
KELLOGG CO		487836108	1,155	000000023473	SH		DEFINED	02
KIMCO REALTY CORP		49446R109	4,304	000000334625	SH		DEFINED	02
KRAFT FOODS INC		50075N104	2,832	000000109000	SH		DEFINED	01
KRAFT FOODS INC		50075N104	11,234	000000435882	SH		DEFINED	02

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

LAS VEGAS SANDS CORP	517834107	10,898	000000655126	SH	DEFINED	02
LAYNE CHRISTENSEN CO	521050104	1,917	000000059818	SH	DEFINED	02
LEAP WIRELESS INTL INC	521863308	766	000000044000	SH	DEFINED	01
LINCOLN ELEC HLDGS INC	533900106	21,514	000000453405	SH	DEFINED	02
LINCOLN NATL CORP IND	534187109	602	000000023542	SH	DEFINED	02
LINEAR TECHNOLOGY CORP	535678106	649	000000023544	SH	DEFINED	02
LOCKHEED MARTIN CORP	539830109	1,840	000000023551	SH	DEFINED	02
LOEWS CORP	540424108	804	000000023553	SH	DEFINED	02
MACYS INC	55616P104	412	000000023137	SH	DEFINED	02
MARKET VECTORS ETF TR	57060U100	4,607	000000107000	SH	DEFINED	01
MARSH & MCLENNAN COS INC	571748102	583	000000023600	SH	DEFINED	02
MARRIOTT INTL INC NEW	571903202	7,628	000000280411	SH	DEFINED	02
MARTIN MARIETTA MATLS INC	573284106	2,255	000000024496	SH	DEFINED	02
MASSEY ENERGY CORP	576206106	646	000000023173	SH	DEFINED	02
MASTERCARD INC	57636Q104	10,357	000000051940	SH	DEFINED	01
MCDONALDS CORP	580135101	1,333	000000023622	SH	DEFINED	02
MEDCO HEALTH SOLUTIONS INC	58405U102	291	000000005400	SH	DEFINED	01
MEDTRONIC INC	585055106	446	000000012148	SH	DEFINED	01
MERCK & CO INC	589331107	740	000000023650	SH	DEFINED	02
METLIFE INC	59156R108	14,837	000000389480	SH	DEFINED	02
MICROSOFT CORP	594918104	603	000000023669	SH	DEFINED	02
MICROCHIP TECHNOLOGY INC	595017104	7,661	000000291925	SH	DEFINED	02
MIDCAP SPDR TR	595635103	71,719	000000563520	SH	DEFINED	02
MINDRAY MEDICAL INTL LTD	602675100	27,007	000000827429	SH	DEFINED	02
MIRANT CORP NEW	60467R100	677	000000042800	SH	DEFINED	01
MONSANTO CO NEW	61166W101	36,240	000000468586	SH	DEFINED	02
MORGAN STANLEY	617446448	708	000000023007	SH	DEFINED	02
MOSAIC CO	61945A107	6,189	000000133300	SH	DEFINED	01
MOTOROLA INC	620076109	197	000000023704	SH	DEFINED	02
MURPHY OIL CORP	626717102	1,365	000000023707	SH	DEFINED	02
NII HLDGS INC	62913F201	242	000000008400	SH	DEFINED	01
NRG ENERGY INC	629377508	7,709	000000286694	SH	DEFINED	01
NRG ENERGY INC	629377508	497	000000017650	SH	DEFINED	01
NYSE EURONEXT	629491101	1,457	000000052500	SH	DEFINED	01
NYSE EURONEXT	629491101	22,430	000000784013	SH	DEFINED	02
NATIONAL INSTRS CORP	636518102	9,267	000000335417	SH	DEFINED	02
NATIONAL SEMICONDUCTOR CORP	637640103	4,569	000000341500	SH	DEFINED	01
NETAPP INC	64110D104	8,846	000000335423	SH	DEFINED	02
NEWMONT MINING CORP	651639106	1,038	000000023750	SH	DEFINED	02
NEWS CORP	65248E104	7,537	000000637403	SH	DEFINED	02
NIKE INC	654106103	1,532	000000023762	SH	DEFINED	02

1Page 6

09-11-06 15:58:5

0

FORM 13F  
INFORMATION TABLE  
QUARTER ENDING  
09/30/2009

NAME OF ISSUER	TITLE OF CLASS	CUSIP	VALUE X1000	SHARES PRN AMT	SH PUT PRN CALL	INVTMT DSCRETN	OT MAN
ONORDSTROM INC		655664100	725	000000023772	SH	DEFINED	02
NORFOLK SOUTHERN CORP		655844108	1,027	000000023776	SH	DEFINED	02
NORTHERN TR CORP		665859104	1,382	000000023777	SH	DEFINED	02
NORTHROP GRUMMAN CORP		666807102	1,229	000000023780	SH	DEFINED	02
OCCIDENTAL PETE CORP DEL		674599105	1,849	000000023797	SH	DEFINED	02
OLD DOMINION FGHT LINES INC		679580100	16,033	000000526910	SH	DEFINED	02
ONYX PHARMACEUTICALS INC		683399109	8,965	000000299133	SH	DEFINED	02
ORACLE CORP		68389X105	495	000000023817	SH	DEFINED	02
PDL BIOPHARMA INC		69329Y104	466	000000059208	SH	DEFINED	02
P F CHANGS CHINA BISTRO INC		69333Y108	14,465	000000425846	SH	DEFINED	02
PNC FINL SVCS GROUP INC		693475105	1,131	000000023910	SH	DEFINED	02
PACCAR INC		693718108	884	000000023834	SH	DEFINED	02
PARKER HANNIFIN CORP		701094104	240	000000004800	SH	DEFINED	01

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

PATRIOT COAL CORP	70336T104	10,851	000000922749	SH	DEFINED	02
PAYCHEX INC	704326107	682	000000023859	SH	DEFINED	02
PEABODY ENERGY CORP	704549104	17,408	000000468667	SH	DEFINED	02
PFIZER INC	717081103	3,710	000000227500	SH	DEFINED	01
PHILIP MORRIS INTL INC	718172109	46,616	000000970479	SH	DEFINED	02
PLUM CREEK TIMBER CO INC	729251108	7,460	000000244837	SH	DEFINED	02
POTASH CORP SASK INC	73755L107	4,018	000000046500	SH	DEFINED	01
POTASH CORP SASK INC	73755L107	22,385	000000246796	SH	DEFINED	02
POWERSHARES QQQ TRUST	73935A104	73,709	000001797800	SH	DEFINED	01
PRECISION CASTPARTS CORP	740189105	2,402	000000023923	SH	DEFINED	02
PRICE T ROWE GROUP INC	74144T108	1,086	000000023929	SH	DEFINED	02
PRINCIPAL FINANCIAL GROUP IN	74251V102	12,154	000000446693	SH	DEFINED	02
PROCTER & GAMBLE CO	742718109	1,383	000000023931	SH	DEFINED	02
PROGRESSIVE CORP OHIO	743315103	395	000000023933	SH	DEFINED	02
PROLOGIS	743410102	3,709	000000311212	SH	DEFINED	02
PROTECTIVE LIFE CORP	743674103	394	000000020000	SH	DEFINED	01
PRUDENTIAL FINL INC	744320102	1,470	000000031116	SH	DEFINED	01
PRUDENTIAL FINL INC	744320102	22,667	000000455116	SH	DEFINED	02
PUBLIC STORAGE	74460D109	4,473	000000059621	SH	DEFINED	02
PULTE HOMES INC	745867101	445	000000023893	SH	DEFINED	02
RANGE RES CORP	75281A109	12,383	000000250493	SH	DEFINED	02
REALNETWORKS INC	75605L104	950	000000255633	SH	DEFINED	02
RESEARCH IN MOTION LTD	760975102	25,650	000000375999	SH	DEFINED	02
RETAIL HOLDRS TR	76127U101	7,845	000000090150	SH	DEFINED	01
RETAIL HOLDRS TR	76127U101	2,192	000000534818	SH	DEFINED	02
REYNOLDS AMERICAN INC	761713106	222	000000005000	SH	DEFINED	01
ROWAN COS INC	779382100	553	000000024005	SH	DEFINED	02
ROYAL DUTCH SHELL PLC	780259107	351	000000006440	SH	DEFINED	01
SLM CORP	78442P106	1,318	000000159600	SH	DEFINED	01
SPDR TR	78462F103	565,027	000005485700	SH	DEFINED	01
SPDR TR	78462F103	31,739	000000300591	SH	DEFINED	02
SPDR GOLD TRUST	78463V107	31,941	000000326299	SH	DEFINED	01
SPDR SERIES TRUST	78464A714	27,617	000000809199	SH	DEFINED	02

1Page 7  
0

09-11-06 15:58:5

FORM 13F  
INFORMATION TABLE  
QUARTER ENDING  
09/30/2009

NAME OF ISSUER	TITLE OF CLASS	CUSIP	VALUE X1000	SHARES PRN AMT	SH PUT PRN CALL	INVTMT DSCRETN	OT MAN
0SPDR SERIES TRUST		78464A755	36,932	000000809204	SH	DEFINED	02
ST JUDE MED INC		790849103	942	000000024153	SH	DEFINED	02
SANDERSON FARMS INC		800013104	10,992	000000292044	SH	DEFINED	02
SCHEIN HENRY INC		806407102	18,205	000000335281	SH	DEFINED	02
SCHLUMBERGER LTD		806857108	1,437	000000024039	SH	DEFINED	02
SCHWAB CHARLES CORP NEW		808513105	457	000000024042	SH	DEFINED	02
SCOTTS MIRACLE GRO CO		810186106	394	000000009190	SH	DEFINED	01
SEARS HLDGS CORP		812350106	35,744	000000554228	SH	DEFINED	02
SELECT SECTOR SPDR TR		81369Y100	16,262	000000525610	SH	DEFINED	02
SELECT SECTOR SPDR TR		81369Y209	16,327	000000569487	SH	DEFINED	02
SELECT SECTOR SPDR TR		81369Y308	15,024	000000590123	SH	DEFINED	02
SELECT SECTOR SPDR TR		81369Y407	15,643	000000569488	SH	DEFINED	02
SEMICONDUCTOR HLDRS TR		816636203	1,402	000000057000	SH	DEFINED	01
SIMON PPTY GROUP INC NEW		828806109	1,661	000000024091	SH	DEFINED	02
SKECHERS U S A INC		830566105	8,034	000000468775	SH	DEFINED	02
SOLUTIA INC		834376501	153	000000013222	SH	DEFINED	01
SOLUTIA INC		834376501	1,937	000000167289	SH	DEFINED	01
SOUTHWEST AIRLS CO		844741108	232	000000025900	SH	DEFINED	01
SPRINT NEXTEL CORP		852061100	95	000000024132	SH	DEFINED	02
STAPLES INC		855030102	595	000000026263	SH	DEFINED	01
STAPLES INC		855030102	555	000000024139	SH	DEFINED	02

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

STARWOOD HOTELS&RESORTS WRLD	85590A401	9,036	000000280330	SH	DEFINED	02
STATE STR CORP	857477103	1,260	000000024141	SH	DEFINED	02
SUNCOR ENERGY INC NEW	867224107	1,779	000000054000	SH	DEFINED	01
SUNTRUST BKS INC	867914103	540	000000024172	SH	DEFINED	02
SYMANTEC CORP	871503108	389	000000024182	SH	DEFINED	02
ARGACEPT INC	87611R306	17,109	000000796143	SH	DEFINED	02
TARGET CORP	87612E106	5,800	000000124550	SH	DEFINED	01
TARGET CORP	87612E106	17,332	000000371827	SH	DEFINED	02
TEREX CORP NEW	880779103	247	000000012700	SH	DEFINED	01
TEXAS INSTRS INC	882508104	577	000000024229	SH	DEFINED	02
THERAVANCE INC	88338T104	9,506	000000649373	SH	DEFINED	02
THERMO FISHER SCIENTIFIC INC	883556102	1,047	000000024239	SH	DEFINED	02
TIFFANY & CO NEW	886547108	934	000000024246	SH	DEFINED	02
TIME WARNER INC	887317303	643	000000022558	SH	DEFINED	02
TRAVELERS COMPANIES INC	89417E109	1,169	000000024158	SH	DEFINED	02
TYSON FOODS INC	902494103	1,804	000000146500	SH	DEFINED	01
TYSON FOODS INC	902494103	302	000000024296	SH	DEFINED	02
US BANCORP DEL	902973304	1,317	000000062433	SH	DEFINED	01
US BANCORP DEL	902973304	6,773	000000312937	SH	DEFINED	02
ULTRA PETROLEUM CORP	903914109	25,808	000000527137	SH	DEFINED	02
UNDER ARMOUR INC	904311107	21,314	000000765886	SH	DEFINED	02
UNION PAC CORP	907818108	1,416	000000024312	SH	DEFINED	02
UNITED STATES STL CORP NEW	912909108	401	000000009500	SH	DEFINED	01
UNITED THERAPEUTICS CORP DEL	91307C102	1,265	000000026400	SH	DEFINED	01
UNITEDHEALTH GROUP INC	91324P102	612	000000024306	SH	DEFINED	02
VCA ANTECH INC	918194101	12,559	000000522457	SH	DEFINED	02

1Page 8

09-11-06 15:58:5

0

FORM 13F  
INFORMATION TABLE  
QUARTER ENDING  
09/30/2009

NAME OF ISSUER	TITLE OF CLASS	CUSIP	VALUE X1000	SHARES PRN AMT	SH PUT PRN CALL	INVTMT DSCRETN	OT MAN
OVENTAS INC		92276F100	935	000000024362	SH	DEFINED	02
VERIZON COMMUNICATIONS INC		92343V104	681	000000022704	SH	DEFINED	02
VISA INC		92826C839	94,321	000001364600	SH	DEFINED	01
VORNADO RLTY TR		929042109	11,312	000000334653	SH	DEFINED	02
WAL MART STORES INC		931142103	1,191	000000024388	SH	DEFINED	02
WALGREEN CO		931422109	913	000000024386	SH	DEFINED	02
WALTER INVT MGMT CORP		93317W102	606	000000038600	SH	DEFINED	01
WELLPOINT INC		94973V107	21,210	000000447240	SH	DEFINED	02
WELLS FARGO & CO NEW		949746101	668	000000023782	SH	DEFINED	02
WORTHINGTON INDS INC		981811102	339	000000024442	SH	DEFINED	02
WYNN RESORTS LTD		983134107	1,260	000000019220	SH	DEFINED	01
WYNN RESORTS LTD		983134107	37,642	000000534852	SH	DEFINED	02
XTO ENERGY INC		98385X106	13,737	000000335153	SH	DEFINED	02
XILINX INC		983919101	571	000000024450	SH	DEFINED	02
XEROX CORP		984121103	391	000000052305	SH	DEFINED	01
XEROX CORP		984121103	190	000000024449	SH	DEFINED	02
YAHOO INC		984332106	591	000000034000	SH	DEFINED	01
YAHOO INC		984332106	4,488	000000256859	SH	DEFINED	02
YUM BRANDS INC		988498101	8,220	000000249152	SH	DEFINED	02
ZORAN CORP		98975F101	2	000000000200	SH	DEFINED	01