

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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hours per response.....  
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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:

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

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

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 INFORMATION TABLE  
 QUARTER ENDING  
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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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| NAME OF ISSUER | TITLE | CUSIP | VALUE | SHARES | SH | PUT | INVTMT | 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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| 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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QUARTER ENDING

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| NAME OF ISSUER               | TITLE<br>OF CLASS | CUSIP     | VALUE<br>X1000 | SHARES<br>PRN AMT | SH PUT<br>PRN CALL | INVTMT<br>DISCRETN | OT<br>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 |