

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

NOMURA HOLDINGS INC
Form 13F-HR
May 15, 2008

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 March 31, 2008

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 May 15, 2008

(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: 15

Form 13F Information Table Value Total: \$11,114
(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

03/31/2008

NAME OF ISSUER	TITLE OF CLASS	CUSIP	VALUE X1000	SHARES PRN AMT	SH PRN	PUT CALL	INVTMT DSCRETN	OT MAN
OSHIP FINANCE INTERNATIONAL L		G81075106	650	000000024735	SH		DEFINED	02
TSAKOS ENERGY NAVIGATION LTD		G9108L108	666	000000021670	SH		DEFINED	02
DRYSHIPS INC		Y2109Q101	472	000000007884	SH		DEFINED	02
SEASPAN CORP		Y75638109	600	000000021088	SH		DEFINED	02
ABERCROMBIE & FITCH CO		002896207	541	000000007401	SH		DEFINED	02
ALCOA INC		013817101	435	000000012067	SH		DEFINED	02
ALTUS PHARMACEUTICALS INC		02216N105	3,943	000000866624	SH		DEFINED	02
AMERICAN INTL GROUP INC		026874107	813	000000018804	SH		DEFINED	02
AMERICAN SUPERCONDUCTOR CORP		030111108	617	000000026625	SH		DEFINED	02
AMGEN INC		031162100	443	000000010617	SH		DEFINED	02
ARCHER DANIELS MIDLAND CO		039483102	622	000000015113	SH		DEFINED	02
AVENTINE RENEWABLE ENERGY		05356X403	184	000000035566	SH		DEFINED	02
BALDOR ELEC CO		057741100	637	000000022783	SH		DEFINED	02
BANK OF AMERICA CORPORATION		060505104	423	000000011173	SH		DEFINED	02
UAL CORP		902549807	62	000000002900	SH		DEFINED	01