

NOMURA HOLDINGS INC  
Form 6-K  
May 30, 2014  
Table of Contents

**FORM 6-K**  
**U.S. SECURITIES AND EXCHANGE COMMISSION**

**Washington, D.C. 20549**

**Report of Foreign Private Issuer**

**Pursuant to Rule 13a-16 or 15d-16 of  
the Securities Exchange Act of 1934**

**Commission File Number: 1-15270**

**For the month of May 2014**

**NOMURA HOLDINGS, INC.**

**(Translation of registrant's name into English)**

**9-1, Nihonbashi 1-chome**

**Chuo-ku, Tokyo 103-8645**

**Japan**

**(Address of principal executive offices)**

Indicate by check mark whether the registrant files or will file annual reports under cover Form 20-F or Form 40-F.

Form 20-F  X  Form 40-F \_\_\_\_\_

Indicate by check mark if the registrant is submitting the Form 6-K in paper as permitted by Regulation S-T Rule 101(b)(1): \_\_\_\_\_

Indicate by check mark if the registrant is submitting the Form 6-K in paper as permitted by Regulation S-T Rule 101(b)(7): \_\_\_\_\_



**Table of Contents**

Information furnished on this form:

**EXHIBIT**

**Exhibit Number**

1. Nomura Announces Correction to Financial Statements

The registrant hereby incorporates Exhibit 1 to this report on Form 6-K by reference in the prospectus that is part of Registration Statement on Form F-3 (Registration No. 333-191250) of the registrant and Nomura America Finance, LLC, filed with the Securities and Exchange Commission (the SEC ) on September 19, 2013.

EXPLANATORY NOTE: The registrant furnished to the SEC a report on Form 6-K on July 26, 2013 and a report on Form 6-K/A on May 30, 2014, amending the report on Form 6-K furnished on July 26, 2013. The registrant is furnishing this Form 6-K in order to show the amendments to certain data for the three months ended June 30, 2013 and certain quarterly comparatives data shown in Exhibit 1 Financial Summary Three months ended June 30, 2013 , furnished on Form 6-K on July 26, 2013, as reflected in Exhibit 1 to the report on Form 6-K/A furnished on May 30, 2014 and shown in Exhibit 1 to this report. Such amendments to certain data have been made to correct a mistake in the calculation of the number of shares of Nomura Holdings, Inc. common stock held as treasury stock.

**Table of Contents**

**SIGNATURES**

Pursuant to the requirements of the Securities Exchange Act of 1934, the registrant has duly caused this report to be signed on its behalf by the undersigned, thereunto duly authorized.

**NOMURA HOLDINGS, INC.**

Date: May 30, 2014

By: /s/ Hajime Ikeda  
Hajime Ikeda  
Managing Director

**Table of Contents**

**Nomura Announces Correction to Financial Statements**

**Tokyo, May 30, 2014** Nomura Holdings, Inc. today announced corrections to the document issued on July 26, 2013, titled Financial Highlights Three months ended June 2013 as underlined below. The impact of the corrections on Nomura's consolidated financial results is negligible.

**Corrections**

1. Consolidated operating results for the three months ended June 30, 2013

2. Quarterly Consolidated Financial Statements

(1) Consolidated Balance Sheets (UNAUDITED) (Page 6 and 7)

(6) Significant Changes in Equity (UNAUDITED) (Page 11)

Details of the corrections are underlined in the attachment below.

**Table of Contents****Attachment****1. Consolidated Operating Results****Original**

## (2) Financial Position

	At March 31 2013	At June 30 2013
	(Millions of yen, except per share data)	
Total assets	37,942,439	<b>41,954,813</b>
Total equity	2,318,983	<b>2,394,869</b>
Total NHI shareholders equity	2,294,371	<b>2,369,007</b>
Total NHI shareholders equity as a percentage of total assets	6.0%	5.6%
Total NHI shareholders equity per share (Yen)	618.27	639.99

Notes

## (4) Number of shares issued (common stock)

	At March 31 2013	At June 30 2013
Number of shares outstanding (including treasury stock)	3,822,562,601	3,822,562,601
Number of treasury stock	111,602,349	<b>120,949,330</b>
	For the three months ended June 30	
	2012	2013
Average number of shares outstanding (year-to-date)	3,674,586,163	<b>3,705,893,380</b>

**Corrected**

## (2) Financial Position

	At March 31 2013	At June 30 2013
	(Millions of yen, except per share data)	
Total assets	37,942,439	<b>41,954,802</b>
Total equity	2,318,983	<b>2,394,858</b>
Total NHI shareholders equity	2,294,371	<b>2,368,996</b>
Total NHI shareholders equity as a percentage of total assets	6.0%	5.6%
Total NHI shareholders equity per share (Yen)	618.27	639.99

Notes

## (4) Number of shares issued (common stock)

	At March 31 2013	At June 30 2013
Number of shares outstanding (including treasury stock)	3,822,562,601	3,822,562,601

Edgar Filing: NOMURA HOLDINGS INC - Form 6-K

Number of treasury stock	111,602,349	<b><u>120,965,230</u></b>
	For the three months ended June 30	
	2012	2013
Average number of shares outstanding (year-to-date)	3,674,586,163	<b><u>3,705,889,405</u></b>

**Table of Contents****2. Quarterly Consolidated Financial Statements****(1) Consolidated Balance Sheets (UNAUDITED) (Page 6 and 7)****Original**

	Millions of yen		
	March 31, 2013	June 30, 2013	Increase/ (Decrease)
<b>ASSETS</b>			
Cash and cash deposits:			
Cash and cash equivalents	805,087	1,201,766	396,679
Time deposits	577,921	642,909	64,988
Deposits with stock exchanges and other segregated cash	269,744	331,753	62,009
Total cash and cash deposits	1,652,752	2,176,428	523,676
Loans and receivables:			
Loans receivable	1,575,494	1,338,404	(237,090)
Receivables from customers	63,792	59,771	(4,021)
Receivables from other than customers	992,847	807,501	(185,346)
Allowance for doubtful accounts	(2,258)	(3,445)	(1,187)
Total loans and receivables	2,629,875	2,202,231	(427,644)
Collateralized agreements:			
Securities purchased under agreements to resell	8,295,372	10,120,178	1,824,806
Securities borrowed	5,819,885	6,609,875	789,990
Total collateralized agreements	14,115,257	16,730,053	2,614,796
Trading assets and private equity investments:			
Trading assets*	17,037,191	<b>18,107,486</b>	<b>1,070,295</b>
Private equity investments	87,158	88,444	1,286
Total trading assets and private equity investments	17,124,349	<b>18,195,930</b>	<b>1,071,581</b>
Other assets:			
Office buildings, land, equipment and facilities (net of accumulated depreciation and amortization of ¥355,831 million as of March 31, 2013 and ¥366,580 million as of June 30, 2013)	428,241	434,256	6,015
Non-trading debt securities*	920,611	1,074,987	154,376
Investments in equity securities*	123,490	130,679	7,189
Investments in and advances to affiliated companies*	345,705	352,847	7,142
Other	602,159	657,402	55,243
Total other assets	2,420,206	2,650,171	229,965
Total assets	37,942,439	<b>41,954,813</b>	<b>4,012,374</b>



\* Including securities pledged as collateral

**Table of Contents**

	Millions of yen		
	March 31, 2013	June 30, 2013	Increase/ (Decrease)
<b>LIABILITIES AND EQUITY</b>			
Short-term borrowings	738,445	973,036	234,591
Payables and deposits:			
Payables to customers	476,705	630,631	153,926
Payables to other than customers	864,962	1,487,597	622,635
Deposits received at banks	1,072,134	1,275,199	203,065
Total payables and deposits	2,413,801	3,393,427	979,626
Collateralized financing:			
Securities sold under agreements to repurchase	12,444,317	13,725,503	1,281,186
Securities loaned	2,158,559	2,340,133	181,574
Other secured borrowings	806,507	842,258	35,751
Total collateralized financing	15,409,383	16,907,894	1,498,511
Trading liabilities	8,491,296	9,670,942	1,179,646
Other liabilities	978,163	919,705	(58,458)
Long-term borrowings	7,592,368	7,694,940	102,572
Total liabilities	35,623,456	39,559,944	3,936,488
<b>Equity</b>			
NHI shareholders' equity:			
Common stock			
Authorized - 6,000,000,000 shares			
Issued - 3,822,562,601 shares as of March 31, 2013 and 3,822,562,601 shares as of June 30, 2013			
Outstanding - 3,710,960,252 shares as of March 31, 2013 and <b>3,701,613,271 shares</b> as of June 30, 2013			
Additional paid-in capital	594,493	594,493	
Retained earnings	691,264	680,857	(10,407)
Accumulated other comprehensive income (loss)	1,136,523	1,202,417	65,894
Total NHI shareholders' equity before treasury stock	(57,395)	(25,810)	31,585
Common stock held in treasury, at cost - 111,602,349 shares as of March 31, 2013 and <b>120,949,330 shares</b> as of June 30, 2013	2,364,885	2,451,957	87,072
	(70,514)	<b>(82,950)</b>	<b>(12,436)</b>
Total NHI shareholders' equity	2,294,371	<b>2,369,007</b>	<b>74,636</b>
Noncontrolling interests	24,612	25,862	1,250
Total equity	2,318,983	<b>2,394,869</b>	<b>75,886</b>
Total liabilities and equity	37,942,439	<b>41,954,813</b>	<b>4,012,374</b>

**Table of Contents****Corrected**

	Millions of yen		
	March 31, 2013	June 30, 2013	Increase/ (Decrease)
<b>ASSETS</b>			
<b>Cash and cash deposits:</b>			
Cash and cash equivalents	805,087	1,201,766	396,679
Time deposits	577,921	642,909	64,988
Deposits with stock exchanges and other segregated cash	269,744	331,753	62,009
<b>Total cash and cash deposits</b>	<b>1,652,752</b>	<b>2,176,428</b>	<b>523,676</b>
<b>Loans and receivables:</b>			
Loans receivable	1,575,494	1,338,404	(237,090)
Receivables from customers	63,792	59,771	(4,021)
Receivables from other than customers	992,847	807,501	(185,346)
Allowance for doubtful accounts	(2,258)	(3,445)	(1,187)
<b>Total loans and receivables</b>	<b>2,629,875</b>	<b>2,202,231</b>	<b>(427,644)</b>
<b>Collateralized agreements:</b>			
Securities purchased under agreements to resell	8,295,372	10,120,178	1,824,806
Securities borrowed	5,819,885	6,609,875	789,990
<b>Total collateralized agreements</b>	<b>14,115,257</b>	<b>16,730,053</b>	<b>2,614,796</b>
<b>Trading assets and private equity investments:</b>			
Trading assets*	17,037,191	<b>18,107,475</b>	<b>1,070,284</b>
Private equity investments	87,158	88,444	1,286
<b>Total trading assets and private equity investments</b>	<b>17,124,349</b>	<b>18,195,919</b>	<b>1,071,570</b>
<b>Other assets:</b>			
Office buildings, land, equipment and facilities (net of accumulated depreciation and amortization of ¥355,831 million as of March 31, 2013 and ¥366,580 million as of June 30, 2013)	428,241	434,256	6,015
Non-trading debt securities*	920,611	1,074,987	154,376
Investments in equity securities*	123,490	130,679	7,189
Investments in and advances to affiliated companies*	345,705	352,847	7,142
Other	602,159	657,402	55,243
<b>Total other assets</b>	<b>2,420,206</b>	<b>2,650,171</b>	<b>229,965</b>
<b>Total assets</b>	<b>37,942,439</b>	<b>41,954,802</b>	<b>4,012,363</b>

\* Including securities pledged as collateral

**Table of Contents**

	Millions of yen		
	March 31, 2013	June 30, 2013	Increase/ (Decrease)
<b>LIABILITIES AND EQUITY</b>			
Short-term borrowings	738,445	973,036	234,591
Payables and deposits:			
Payables to customers	476,705	630,631	153,926
Payables to other than customers	864,962	1,487,597	622,635
Deposits received at banks	1,072,134	1,275,199	203,065
Total payables and deposits	2,413,801	3,393,427	979,626
Collateralized financing:			
Securities sold under agreements to repurchase	12,444,317	13,725,503	1,281,186
Securities loaned	2,158,559	2,340,133	181,574
Other secured borrowings	806,507	842,258	35,751
Total collateralized financing	15,409,383	16,907,894	1,498,511
Trading liabilities	8,491,296	9,670,942	1,179,646
Other liabilities	978,163	919,705	(58,458)
Long-term borrowings	7,592,368	7,694,940	102,572
Total liabilities	35,623,456	39,559,944	3,936,488
<b>Equity</b>			
NHI shareholders' equity:			
Common stock			
Authorized - 6,000,000,000 shares			
Issued - 3,822,562,601 shares as of March 31, 2013 and			
3,822,562,601 shares as of June 30, 2013			
Outstanding - 3,710,960,252 shares as of March 31, 2013 and			
<b>3,701,597,371 shares</b> as of June 30, 2013			
	594,493	594,493	
Additional paid-in capital	691,264	680,857	(10,407)
Retained earnings	1,136,523	1,202,417	65,894
Accumulated other comprehensive income (loss)	(57,395)	(25,810)	31,585
Total NHI shareholders' equity before treasury stock	2,364,885	2,451,957	87,072
Common stock held in treasury, at cost -			
111,602,349 shares as of March 31, 2013 and			
<b>120,965,230 shares</b> as of June 30, 2013			
	(70,514)	(82,961)	(12,447)
Total NHI shareholders' equity	2,294,371	<b>2,368,996</b>	<b>74,625</b>
Noncontrolling interests	24,612	<b>25,862</b>	<b>1,250</b>
Total equity	2,318,983	<b>2,394,858</b>	<b>75,875</b>
Total liabilities and equity	<u>37,942,439</u>	<b><u>41,954,802</u></b>	<b><u>4,012,363</u></b>

**Table of Contents****(6) Significant Changes in Equity (UNAUDITED) (Page 11)****Original**

	Millions of yen For the three months ended June 30, 2013
<b>Common stock</b>	
Balance at beginning of year	594,493
Balance at end of period	594,493
<b>Additional paid-in capital</b>	
Balance at beginning of year	691,264
Gain (loss) on sales of treasury stock	(4,315)
Issuance and exercise of common stock options	(6,092)
Balance at end of period	680,857
<b>Retained earnings</b>	
Balance at beginning of year	1,136,523
Net income attributable to NHI shareholders	65,894
Balance at end of period	1,202,417
<b>Accumulated other comprehensive income (loss)</b>	
Cumulative translation adjustments	
Balance at beginning of year	(38,875)
Net change during the period	32,343
Balance at end of period	(6,532)
<b>Defined benefit pension plans</b>	
Balance at beginning of year	(28,518)
Pension liability adjustment	1,024
Balance at end of period	(27,494)
<b>Non-trading securities</b>	
Balance at beginning of year	9,998
Net unrealized gain (loss) on non-trading securities	(1,782)
Balance at end of period	8,216
Balance at end of year	(25,810)
<b>Common stock held in treasury</b>	
Balance at beginning of year	(70,514)
Repurchases of common stock	<b>(32,476)</b>
Sale of common stock	0
Common stock issued to employees	19,373
Other net change in treasury stock	667

Edgar Filing: NOMURA HOLDINGS INC - Form 6-K

Balance at end of period	<b><u>(82,950)</u></b>
<b>Total NHI shareholders' equity</b>	
Balance at end of period	<b><u>2,369,007</u></b>
<b>Noncontrolling interests</b>	
Balance at beginning of year	24,612
Net change during the period	1,250
Balance at end of period	25,862
<b>Total equity</b>	
Balance at end of period	<b><u>2,394,869</u></b>

**Table of Contents****Corrected**

	Millions of yen For the three months ended June 30, 2013
<b>Common stock</b>	
Balance at beginning of year	594,493
Balance at end of period	594,493
<b>Additional paid-in capital</b>	
Balance at beginning of year	691,264
Gain (loss) on sales of treasury stock	(4,315)
Issuance and exercise of common stock options	(6,092)
Balance at end of period	680,857
<b>Retained earnings</b>	
Balance at beginning of year	1,136,523
Net income attributable to NHI shareholders	65,894
Balance at end of period	1,202,417
<b>Accumulated other comprehensive income (loss)</b>	
Cumulative translation adjustments	
Balance at beginning of year	(38,875)
Net change during the period	32,343
Balance at end of period	(6,532)
<b>Defined benefit pension plans</b>	
Balance at beginning of year	(28,518)
Pension liability adjustment	1,024
Balance at end of period	(27,494)
<b>Non-trading securities</b>	
Balance at beginning of year	9,998
Net unrealized gain (loss) on non-trading securities	(1,782)
Balance at end of period	8,216
Balance at end of year	(25,810)
<b>Common stock held in treasury</b>	
Balance at beginning of year	(70,514)
Repurchases of common stock	<b>(32,487)</b>
Sale of common stock	0
Common stock issued to employees	19,373
Other net change in treasury stock	667
Balance at end of period	<b>(82,961)</b>

Edgar Filing: NOMURA HOLDINGS INC - Form 6-K

Total NHI shareholders equity	
Balance at end of period	<b><u>2,368,996</u></b>
Noncontrolling interests	
Balance at beginning of year	24,612
Net change during the period	1,250
Balance at end of period	25,862
Total equity	
Balance at end of period	<b><u>2,394,858</u></b>



**Table of Contents**

ends

**For further information please contact:**

<b>Name</b>	<b>Company</b>	<b>Telephone</b>
Joey Wu	Nomura Holdings, Inc.	81-3-3278-0591
Keiko Sugai Nomura	Group Corporate Communications Dept.	

Nomura is an Asia-based financial services group with an integrated global network spanning over 30 countries. By connecting markets East & West, Nomura services the needs of individuals, institutions, corporates and governments through its three business divisions: Retail, Asset Management, and Wholesale (Global Markets and Investment Banking). Founded in 1925, the firm is built on a tradition of disciplined entrepreneurship, serving clients with creative solutions and considered thought leadership. For further information about Nomura, visit [www.nomura.com](http://www.nomura.com).