

NOMURA HOLDINGS INC  
Form 6-K  
May 30, 2014  
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**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): \_\_\_\_\_



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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 January 30, 2014 and a report on Form 6-K/A on May 30, 2014, amending the report on Form 6-K furnished on January 30, 2014. The registrant is furnishing this Form 6-K in order to show the amendments to certain data for the nine months ended December 31, 2013 and certain quarterly comparatives data shown in Exhibit 1 Financial Summary Nine months ended December 31, 2013 , furnished on Form 6-K on January 30, 2014, 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.

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**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

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**Nomura Announces Correction to Financial Statements**

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

**Corrections**

1. Consolidated operating results for the nine months ended December 31, 2013
  
  2. Quarterly Consolidated financial statements
    - (1) Consolidated Balance Sheets (UNAUDITED) (Page 6 and 7)
  
    - (2) Consolidated Statements of Income (UNAUDITED) (Page 8)
  
    - (3) Consolidated Statement of Comprehensive Income (UNAUDITED) (Page 9)
  
    - (5) Segment Information – Operating Segment (UNAUDITED) (Page 10)
  
    - (6) Significant Changes in Equity (UNAUDITED) (Page 11)
  
  3. Supplementary Information
    - (1) Consolidated statements of income – quarterly comparatives (UNAUDITED) (Page 12)
  
    - (2) Business segment information – quarterly comparatives (UNAUDITED) (Page 13)
- Details of the corrections are underlined in the attachment below.

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

## (1) Operating Results

|   | For the nine months ended December 31<br>2012 |        | 2013                                     |        |
|---|---|--------|--|--------|
|   | (Millions of yen, except per share data)      |        | (Millions of yen, except per share data) |        |
|   | % Change from<br>December 31, 2011            |        | % Change from<br>December 31, 2012       |        |
| Total revenue   | 1,359,800                                     | 5.7%   | <b>1,381,071</b>                         | 1.6%   |
| Net revenue   | 1,160,019                                     | 11.9%  | <b>1,167,133</b>                         | 0.6%   |
| Income before income taxes  | 68,048  | 181.2% | <b>273,047</b>                           | 301.3% |
| Net income attributable to Nomura Holdings, Inc. ( NHI ) shareholders | 24,812  | %      | <b>152,336</b>                           | 514.0% |
| Comprehensive income  | 41,121  | %      | <b>244,771</b>                           | 495.2% |

## (2) Financial Position

|   | At March 31<br>2013                      | At December 31<br>2013 |
|---|--|------------------------|
|   | (Millions of yen, except per share data) |                        |
| Total assets  | 37,942,439                               | <b>43,634,422</b>      |
| Total equity  | 2,318,983                                | <b>2,528,470</b>       |
| Total NHI shareholders equity                                 | 2,294,371                                | <b>2,492,498</b>       |
| Total NHI shareholders equity as a percentage of total assets | 600.0%                                   | 570.0%                 |
| Total NHI shareholders equity per share (Yen)                 | 618.27                                   | 670.88                 |

Notes

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

|                          | At March 31<br>2013                                     | At December 31<br>2013 |
|--------------------------|---|------------------------|
|                          | Number of shares outstanding (including treasury stock) | 3,822,562,601          |
| Number of treasury stock | 111,602,349   | <b>107,311,575</b>     |

|   | For the nine months ended December 31 |                      |
|---|---------------------------------------|----------------------|
|   | 2012                                  | 2013                 |
| Average number of shares outstanding (year-to-date) | 3,687,924,842                         | <b>3,707,762,930</b> |

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

## (1) Operating Results

|   | For the nine months ended December 31    |                   |                   |                   |
|---|--|-------------------|-------------------|-------------------|
|   | 2012                                     | 2013              |                   |                   |
|   | (Millions of yen, except per share data) |                   |                   |                   |
|   | % Change from                            |                   | % Change from     |                   |
|   | December 31, 2011                        | December 31, 2012 | December 31, 2011 | December 31, 2012 |
| Total revenue   | 1,359,800                                | 5.7%              | <b>1,381,070</b>  | 1.6%              |
| Net revenue   | 1,160,019                                | 11.9%             | <b>1,167,132</b>  | 0.6%              |
| Income before income taxes  | 68,048                                   | 181.2%            | <b>273,046</b>    | 301.3%            |
| Net income attributable to Nomura Holdings, Inc. ( NHI ) shareholders | 24,812                                   | %                 | <b>152,335</b>    | 514.0%            |
| Comprehensive income  | 41,121                                   | %                 | <b>244,770</b>    | 495.2%            |

## (2) Financial Position

|   | At March 31                              | At December 31    |
|---|--|-------------------|
|   | 2013                                     | 2013              |
|   | (Millions of yen, except per share data) |                   |
| Total assets  | 37,942,439                               | <b>43,634,418</b> |
| Total equity  | 2,318,983                                | <b>2,528,466</b>  |
| Total NHI shareholders equity                                 | 2,294,371                                | <b>2,492,494</b>  |
| Total NHI shareholders equity as a percentage of total assets | 600.0%                                   | 570.0%            |
| Total NHI shareholders equity per share (Yen)                 | 618.27                                   | 670.88            |

## Notes

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

|   | At March 31   | At December 31     |
|---|---------------|--------------------|
|   | 2013          | 2013               |
| Number of shares outstanding (including treasury stock) | 3,822,562,601 | 3,822,562,601      |
| Number of treasury stock                                | 111,602,349   | <b>107,316,275</b> |

|   | For the nine months ended December 31 |                      |
|---|---------------------------------------|----------------------|
|   | 2012                                  | 2013                 |
| Average number of shares outstanding (year-to-date) | 3,687,924,842                         | <b>3,707,756,280</b> |

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

|  | Millions of yen   |                      |                         |
|--|-------------------|----------------------|-------------------------|
|  | March 31,<br>2013 | December 31,<br>2013 | Increase/<br>(Decrease) |
| <b>ASSETS</b>  |                   |                      |                         |
| Cash and cash deposits:  |                   |                      |                         |
| Cash and cash equivalents  | 805,087           | 1,257,512            | 452,425                 |
| Time deposits  | 577,921           | 460,243              | (117,678)               |
| Deposits with stock exchanges and other segregated cash  | 269,744           | 340,420              | 70,676                  |
| <b>Total cash and cash deposits</b>  | <b>1,652,752</b>  | <b>2,058,175</b>     | <b>405,423</b>          |
| Loans and receivables:   |                   |                      |                         |
| Loans receivable   | 1,575,494         | 1,473,175            | (102,319)               |
| Receivables from customers   | 63,792            | 46,646               | (17,146)                |
| Receivables from other than customers  | 992,847           | 1,139,791            | 146,944                 |
| Allowance for doubtful accounts  | (2,258)           | (3,287)              | (1,029)                 |
| <b>Total loans and receivables</b>   | <b>2,629,875</b>  | <b>2,656,325</b>     | <b>26,450</b>           |
| Collateralized agreements:   |                   |                      |                         |
| Securities purchased under agreements to resell  | 8,295,372         | 9,722,027            | 1,426,655               |
| Securities borrowed  | 5,819,885         | 6,759,252            | 939,367                 |
| <b>Total collateralized agreements</b>   | <b>14,115,257</b> | <b>16,481,279</b>    | <b>2,366,022</b>        |
| Trading assets and private equity investments:   |                   |                      |                         |
| Trading assets*  | 17,037,191        | <b>19,587,304</b>    | <b>2,550,113</b>        |
| Private equity investments   | 87,158            | 43,094               | (44,064)                |
| <b>Total trading assets and private equity investments</b>   | <b>17,124,349</b> | <b>19,630,398</b>    | <b>2,506,049</b>        |
| Other assets:  |                   |                      |                         |
| Office buildings, land, equipment and facilities<br>(net of accumulated depreciation and amortization of<br>¥355,831 million as of March 31, 2013 and<br>¥399,987 million as of December 31, 2013) | 428,241           | 428,851              | 610                     |
| Non-trading debt securities*   | 920,611           | 1,001,655            | 81,044                  |
| Investments in equity securities*  | 123,490           | 141,826              | 18,336                  |
| Investments in and advances to affiliated companies*   | 345,705           | 370,765              | 25,060                  |
| Other  | 602,159           | 865,148              | 262,989                 |
| <b>Total other assets</b>  | <b>2,420,206</b>  | <b>2,808,245</b>     | <b>388,039</b>          |
| <b>Total assets</b>  | <b>37,942,439</b> | <b>43,634,422</b>    | <b>5,691,983</b>        |

\* Including securities pledged as collateral

**Table of Contents**

|  | March 31,<br>2013 | Millions of yen<br>December 31,<br>2013 | Increase/<br>(Decrease) |
|--|-------------------|---|-------------------------|
| <b>LIABILITIES AND EQUITY</b>  |                   |   |                         |
| Short-term borrowings  | 738,445           | 559,795                                 | (178,650)               |
| Payables and deposits:   |                   |   |                         |
| Payables to customers  | 476,705           | 542,741                                 | 66,036                  |
| Payables to other than customers   | 864,962           | 1,356,889                               | 491,927                 |
| Deposits received at banks   | 1,072,134         | 1,103,782                               | 31,648                  |
| Total payables and deposits  | 2,413,801         | 3,003,412                               | 589,611                 |
| Collateralized financing:  |                   |   |                         |
| Securities sold under agreements to repurchase   | 12,444,317        | 14,495,419                              | 2,051,102               |
| Securities loaned  | 2,158,559         | 2,636,357                               | 477,798                 |
| Other secured borrowings   | 806,507           | 802,690                                 | (3,817)                 |
| Total collateralized financing   | 15,409,383        | 17,934,466                              | 2,525,083               |
| Trading liabilities  | 8,491,296         | 10,350,094                              | 1,858,798               |
| Other liabilities  | 978,163           | 1,261,330                               | 283,167                 |
| Long-term borrowings   | 7,592,368         | 7,996,855                               | 404,487                 |
| Total liabilities  | 35,623,456        | 41,105,952                              | 5,482,496               |
| Equity   |                   |   |                         |
| NHI shareholders' equity:  |                   |   |                         |
| Common stock   |                   |   |                         |
| Authorized - 6,000,000,000 shares  |                   |   |                         |
| Issued - 3,822,562,601 shares as of March 31, 2013 and<br>3,822,562,601 shares as of December 31, 2013                                       |                   |   |                         |
| Outstanding - 3,710,960,252 shares as of March 31, 2013 and<br><b>3,715,251,026 shares</b> as of December 31, 2013                           | 594,493           | 594,493                                 |                         |
| Additional paid-in capital   | 691,264           | 681,195                                 | (10,069)                |
| Retained earnings  | 1,136,523         | <b>1,259,207</b>                        | <b>122,684</b>          |
| Accumulated other comprehensive income (loss)  | (57,395)          | 31,361                                  | 88,756                  |
| Total NHI shareholders' equity before treasury stock   | 2,364,885         | <b>2,566,256</b>                        | <b>201,371</b>          |
| Common stock held in treasury, at cost -<br>111,602,349 shares as of March 31, 2013 and<br><b>107,311,575 shares</b> as of December 31, 2013 | (70,514)          | <b>(73,758)</b>                         | <b>(3,244)</b>          |
| Total NHI shareholders' equity   | 2,294,371         | <b>2,492,498</b>                        | <b>198,127</b>          |
| Noncontrolling interests   | 24,612            | 35,972                                  | 11,360                  |
| Total equity   | 2,318,983         | <b>2,528,470</b>                        | <b>209,487</b>          |
| Total liabilities and equity   | 37,942,439        | <b>43,634,422</b>                       | <b>5,691,983</b>        |

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Corrected

|  | Millions of yen   |                      |                         |
|--|-------------------|----------------------|-------------------------|
|  | March 31,<br>2013 | December 31,<br>2013 | Increase/<br>(Decrease) |
| <b>ASSETS</b>  |                   |                      |                         |
| Cash and cash deposits:  |                   |                      |                         |
| Cash and cash equivalents  | 805,087           | 1,257,512            | 452,425                 |
| Time deposits  | 577,921           | 460,243              | (117,678)               |
| Deposits with stock exchanges and other segregated cash  | 269,744           | 340,420              | 70,676                  |
| Total cash and cash deposits   | 1,652,752         | 2,058,175            | 405,423                 |
| Loans and receivables:   |                   |                      |                         |
| Loans receivable   | 1,575,494         | 1,473,175            | (102,319)               |
| Receivables from customers   | 63,792            | 46,646               | (17,146)                |
| Receivables from other than customers  | 992,847           | 1,139,791            | 146,944                 |
| Allowance for doubtful accounts  | (2,258)           | (3,287)              | (1,029)                 |
| Total loans and receivables  | 2,629,875         | 2,656,325            | 26,450                  |
| Collateralized agreements:   |                   |                      |                         |
| Securities purchased under agreements to resell  | 8,295,372         | 9,722,027            | 1,426,655               |
| Securities borrowed  | 5,819,885         | 6,759,252            | 939,367                 |
| Total collateralized agreements  | 14,115,257        | 16,481,279           | 2,366,022               |
| Trading assets and private equity investments:   |                   |                      |                         |
| Trading assets*  | 17,037,191        | <b>19,587,300</b>    | <b>2,550,109</b>        |
| Private equity investments   | 87,158            | 43,094               | (44,064)                |
| Total trading assets and private equity investments  | 17,124,349        | <b>19,630,394</b>    | <b>2,506,045</b>        |
| Other assets:  |                   |                      |                         |
| Office buildings, land, equipment and facilities<br>(net of accumulated depreciation and amortization of<br>¥355,831 million as of March 31, 2013 and<br>¥399,987 million as of December 31, 2013) | 428,241           | 428,851              | 610                     |
| Non-trading debt securities*   | 920,611           | 1,001,655            | 81,044                  |
| Investments in equity securities*  | 123,490           | 141,826              | 18,336                  |
| Investments in and advances to affiliated companies*   | 345,705           | 370,765              | 25,060                  |
| Other  | 602,159           | 865,148              | 262,989                 |
| Total other assets   | 2,420,206         | 2,808,245            | 388,039                 |
| Total assets   | 37,942,439        | <b>43,634,418</b>    | <b>5,691,979</b>        |

\* Including securities pledged as collateral

**Table of Contents**

|  | March 31,<br>2013 | Millions of yen<br>December 31,<br>2013 | Increase/<br>(Decrease) |
|--|-------------------|---|-------------------------|
| <b>LIABILITIES AND EQUITY</b>  |                   |   |                         |
| Short-term borrowings  | 738,445           | 559,795                                 | (178,650)               |
| Payables and deposits:   |                   |   |                         |
| Payables to customers  | 476,705           | 542,741                                 | 66,036                  |
| Payables to other than customers   | 864,962           | 1,356,889                               | 491,927                 |
| Deposits received at banks   | 1,072,134         | 1,103,782                               | 31,648                  |
| <b>Total payables and deposits</b>   | <b>2,413,801</b>  | <b>3,003,412</b>                        | <b>589,611</b>          |
| Collateralized financing:  |                   |   |                         |
| Securities sold under agreements to repurchase   | 12,444,317        | 14,495,419                              | 2,051,102               |
| Securities loaned  | 2,158,559         | 2,636,357                               | 477,798                 |
| Other secured borrowings   | 806,507           | 802,690                                 | (3,817)                 |
| <b>Total collateralized financing</b>  | <b>15,409,383</b> | <b>17,934,466</b>                       | <b>2,525,083</b>        |
| Trading liabilities  | 8,491,296         | 10,350,094                              | 1,858,798               |
| Other liabilities  | 978,163           | 1,261,330                               | 283,167                 |
| Long-term borrowings   | 7,592,368         | 7,996,855                               | 404,487                 |
| <b>Total liabilities</b>   | <b>35,623,456</b> | <b>41,105,952</b>                       | <b>5,482,496</b>        |
| <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<br>3,822,562,601 shares as of December 31, 2013                                       |                   |   |                         |
| Outstanding - 3,710,960,252 shares as of March 31, 2013 and<br><b>3,715,246,326 shares</b> as of December 31, 2013                           |                   |   |                         |
|  | 594,493           | 594,493                                 |                         |
| Additional paid-in capital   | 691,264           | 681,195                                 | (10,069)                |
| Retained earnings  | 1,136,523         | <b>1,259,206</b>                        | <b>122,683</b>          |
| Accumulated other comprehensive income (loss)  | (57,395)          | 31,361                                  | 88,756                  |
| <b>Total NHI shareholders' equity before treasury stock</b>  | <b>2,364,885</b>  | <b>2,566,255</b>                        | <b>201,370</b>          |
| Common stock held in treasury, at cost -<br>111,602,349 shares as of March 31, 2013 and<br><b>107,316,275 shares</b> as of December 31, 2013 |                   |   |                         |
|  | (70,514)          | <b>(73,761)</b>                         | <b>(3,247)</b>          |
| <b>Total NHI shareholders' equity</b>  | <b>2,294,371</b>  | <b>2,492,494</b>                        | <b>198,123</b>          |
| Noncontrolling interests   | 24,612            | 35,972                                  | 11,360                  |
| <b>Total equity</b>  | <b>2,318,983</b>  | <b>2,528,466</b>                        | <b>209,483</b>          |
| <b>Total liabilities and equity</b>  | <b>37,942,439</b> | <b>43,634,418</b>                       | <b>5,691,979</b>        |

**Table of Contents****(2) Consolidated Statements of Income (UNAUDITED) (Page 8)****Original**

|  | Millions of yen                                      |                         | % Change<br>(B-A)/(A) |
|--|--|-------------------------|-----------------------|
|  | For the nine months ended<br>December 31,<br>2012(A) | December 31,<br>2013(B) |                       |
| <b>Revenue:</b>  |  |                         |                       |
| Commissions  | 233,327  | 384,681                 | 64.9                  |
| Fees from investment banking                                     | 40,541   | 64,147                  | 58.2                  |
| Asset management and portfolio service fees                      | 102,241  | 125,157                 | 22.4                  |
| Net gain on trading  | 261,516  | <b>347,134</b>          | 32.7                  |
| Gain on private equity investments                               | 6,543  | 11,738                  | 79.4                  |
| Interest and dividends   | 296,048  | 316,018                 | 6.7                   |
| Gain on investments in equity securities                         | 14,767   | 20,394                  | 38.1                  |
| Other  | 404,817  | 111,802                 | (72.4)                |
| <b>Total revenue</b>   | <b>1,359,800</b>                                     | <b>1,381,071</b>        | 1.6                   |
| Interest expense   | 199,781  | 213,938                 | 7.1                   |
| <b>Net revenue</b>   | <b>1,160,019</b>                                     | <b>1,167,133</b>        | 0.6                   |
| <b>Non-interest expenses:</b>                                    |  |                         |                       |
| Compensation and benefits  | 392,967  | 437,418                 | 11.3                  |
| Commissions and floor brokerage                                  | 66,800   | 83,154                  | 24.5                  |
| Information processing and communications                        | 130,341  | 142,228                 | 9.1                   |
| Occupancy and related depreciation                               | 68,429   | 59,613                  | (12.9)                |
| Business development expenses                                    | 34,553   | 28,361                  | (17.9)                |
| Other  | 398,881  | 143,312                 | (64.1)                |
| <b>Total non-interest expenses</b>                               | <b>1,091,971</b>                                     | <b>894,086</b>          | (18.1)                |
| <b>Income before income taxes</b>                                | <b>68,048</b>  | <b>273,047</b>          | 301.3                 |
| Income tax expense   | 56,520   | 119,274                 | 111.0                 |
| <b>Net income</b>  | <b>11,528</b>  | <b>153,773</b>          |                       |
| Less: Net income (loss) attributable to noncontrolling interests | (13,284)   | 1,437                   |                       |
| <b>Net income attributable to NHI shareholders</b>               | <b>24,812</b>  | <b>152,336</b>          | 514.0                 |
| <b>Per share of common stock:</b>                                |  |                         |                       |
|  |  | Yen                     | % Change              |
| <b>Basic-</b>  |  |                         |                       |
| Net income attributable to NHI shareholders per share            | 6.73   | 41.09                   | 510.5                 |
| <b>Diluted-</b>  |  |                         |                       |
| Net income attributable to NHI shareholders per share            | 6.60   | 39.83                   | 503.5                 |

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|  | Millions of yen                                      |                         | % Change<br>(B-A)/(A) |
|--|--|-------------------------|-----------------------|
|  | For the nine months ended<br>December 31,<br>2012(A) | December 31,<br>2013(B) |                       |
| <b>Revenue:</b>  |  |                         |                       |
| Commissions  | 233,327  | 384,681                 | 64.9                  |
| Fees from investment banking                                     | 40,541   | 64,147                  | 58.2                  |
| Asset management and portfolio service fees                      | 102,241  | 125,157                 | 22.4                  |
| Net gain on trading  | 261,516  | <b>347,133</b>          | 32.7                  |
| Gain on private equity investments                               | 6,543  | 11,738                  | 79.4                  |
| Interest and dividends   | 296,048  | 316,018                 | 6.7                   |
| Gain on investments in equity securities                         | 14,767   | 20,394                  | 38.1                  |
| Other  | 404,817  | 111,802                 | (72.4)                |
| <b>Total revenue</b>   | <b>1,359,800</b>                                     | <b>1,381,070</b>        | 1.6                   |
| Interest expense   | 199,781  | 213,938                 | 7.1                   |
| <b>Net revenue</b>   | <b>1,160,019</b>                                     | <b>1,167,132</b>        | 0.6                   |
| <b>Non-interest expenses:</b>                                    |  |                         |                       |
| Compensation and benefits  | 392,967  | 437,418                 | 11.3                  |
| Commissions and floor brokerage                                  | 66,800   | 83,154                  | 24.5                  |
| Information processing and communications                        | 130,341  | 142,228                 | 9.1                   |
| Occupancy and related depreciation                               | 68,429   | 59,613                  | (12.9)                |
| Business development expenses                                    | 34,553   | 28,361                  | (17.9)                |
| Other  | 398,881  | 143,312                 | (64.1)                |
| <b>Total non-interest expenses</b>                               | <b>1,091,971</b>                                     | <b>894,086</b>          | (18.1)                |
| <b>Income before income taxes</b>                                | <b>68,048</b>  | <b>273,046</b>          | 301.3                 |
| Income tax expense   | 56,520   | 119,274                 | 111.0                 |
| <b>Net income</b>  | <b>11,528</b>  | <b>153,772</b>          |                       |
| Less: Net income (loss) attributable to noncontrolling interests | (13,284)   | 1,437                   |                       |
| <b>Net income attributable to NHI shareholders</b>               | <b>24,812</b>  | <b>152,335</b>          | 514.0                 |
| <b>Per share of common stock:</b>                                |  |                         |                       |
|  | Yen  |                         | %<br>Change           |
| <b>Basic-</b>  |  |                         |                       |
| Net income attributable to NHI shareholders per share            | 6.73   | 41.09                   | 510.5                 |
| <b>Diluted-</b>  |  |                         |                       |
| Net income attributable to NHI shareholders per share            | 6.60   | 39.83                   | 503.5                 |

**Table of Contents****(3) Consolidated Statement of Comprehensive Income (UNAUDITED) (Page 9)****Original**

|  | Millions of yen                                      |                         | % Change<br>(B-A)/(A) |
|--|--|-------------------------|-----------------------|
|  | For the nine months ended<br>December 31,<br>2012(A) | December 31,<br>2013(B) |                       |
| Net income   | 11,528   | <b>153,773</b>          |                       |
| Other comprehensive income:  |  |                         |                       |
| Change in cumulative translation adjustments, net of tax                   | 21,374   | 84,608                  | 295.8                 |
| Defined benefit pension plans:   |  |                         |                       |
| Pension liability adjustment   | 5,612  | 2,883                   | (48.6)                |
| Deferred income taxes  | (1,547)  | (974)                   |                       |
| <b>Total</b>   | <b>4,065</b>   | <b>1,909</b>            | <b>(53.0)</b>         |
| Non-trading securities:  |  |                         |                       |
| Net unrealized gain on non-trading securities                              | 5,393  | 6,844                   | 26.9                  |
| Deferred income taxes  | (1,239)  | (2,363)                 |                       |
| <b>Total</b>   | <b>4,154</b>   | <b>4,481</b>            | <b>7.9</b>            |
| Total other comprehensive income   | 29,593   | 90,998                  | 207.5                 |
| Comprehensive income   | 41,121   | <b>244,771</b>          | 495.2                 |
| Less: Comprehensive income (loss) attributable to noncontrolling interests | (10,909)   | 3,679                   |                       |
| Comprehensive income attributable to NHI shareholders                      | 52,030   | <b>241,092</b>          | 363.4                 |

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

|  | Millions of yen                                      |                         | % Change<br>(B-A)/(A) |
|--|--|-------------------------|-----------------------|
|  | For the nine months ended<br>December 31,<br>2012(A) | December 31,<br>2013(B) |                       |
| Net income   | 11,528   | <b><u>153,772</u></b>   |                       |
| Other comprehensive income:  |  |                         |                       |
| Change in cumulative translation adjustments, net of tax                   | 21,374   | 84,608                  | 295.8                 |
| Defined benefit pension plans:   |  |                         |                       |
| Pension liability adjustment   | 5,612  | 2,883                   | (48.6)                |
| Deferred income taxes  | (1,547)  | (974)                   |                       |
| <b>Total</b>   | <b>4,065</b>   | <b>1,909</b>            | <b>(53.0)</b>         |
| Non-trading securities:  |  |                         |                       |
| Net unrealized gain on non-trading securities                              | 5,393  | 6,844                   | 26.9                  |
| Deferred income taxes  | (1,239)  | (2,363)                 |                       |
| <b>Total</b>   | <b>4,154</b>   | <b>4,481</b>            | <b>7.9</b>            |
| Total other comprehensive income   | 29,593   | 90,998                  | 207.5                 |
| <b>Comprehensive income</b>  | <b>41,121</b>  | <b><u>244,770</u></b>   | <b>495.2</b>          |
| Less: Comprehensive income (loss) attributable to noncontrolling interests | (10,909)   | 3,679                   |                       |
| <b>Comprehensive income attributable to NHI shareholders</b>               | <b>52,030</b>  | <b><u>241,091</u></b>   | <b>363.4</b>          |

**Table of Contents****(5) Segment Information Operating Segment (UNAUDITED) (Page 10)****Original**

|  | Millions of yen                                       |                          | % Change<br>(B-A) (A) |
|--|---|--------------------------|-----------------------|
|  | For the nine months ended<br>December 31,<br>2012 (A) | December 31,<br>2013 (B) |                       |
| <b>Net revenue</b>   |   |                          |                       |
| Business segment information:  |   |                          |                       |
| Retail   | 259,176   | 414,047                  | 59.8                  |
| Asset Management   | 50,643  | 60,015                   | 18.5                  |
| Wholesale  | 447,945   | <b>566,624</b>           | 26.5                  |
| Subtotal   | 757,764   | <b>1,040,686</b>         | 37.3                  |
| Other  | 387,323   | 108,047                  | (72.1)                |
| Net revenue  | 1,145,087   | <b>1,148,733</b>         | 0.3                   |
| Reconciliation items:  |   |                          |                       |
| Unrealized gain (loss) on investments in equity securities held for operating purposes | 14,932  | 18,400                   | 23.2                  |
| Net revenue  | 1,160,019   | <b>1,167,133</b>         | 0.6                   |
| <b>Non-interest expenses</b>   |   |                          |                       |
| Business segment information:  |   |                          |                       |
| Retail   | 215,766   | 245,313                  | 13.7                  |
| Asset Management   | 33,395  | 38,226                   | 14.5                  |
| Wholesale  | 411,946   | 488,301                  | 18.5                  |
| Subtotal   | 661,107   | 771,840                  | 16.7                  |
| Other  | 430,864   | 122,246                  | (71.6)                |
| Non-interest expenses  | 1,091,971   | 894,086                  | (18.1)                |
| Reconciliation items:  |   |                          |                       |
| Unrealized gain (loss) on investments in equity securities held for operating purposes |   |                          |                       |
| Non-interest expenses  | 1,091,971   | 894,086                  | (18.1)                |
| <b>Income (loss) before income taxes</b>   |   |                          |                       |
| Business segment information:  |   |                          |                       |
| Retail   | 43,410  | 168,734                  | 288.7                 |
| Asset Management   | 17,248  | 21,789                   | 26.3                  |
| Wholesale  | 35,999  | <b>78,323</b>            | 117.6                 |
| Subtotal   | 96,657  | <b>268,846</b>           | 178.1                 |
| Other *  | (43,541)  | (14,199)                 |                       |
| Income (loss) before income taxes  | 53,116  | <b>254,647</b>           | 379.4                 |

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|  |        |                |       |
|--|--------|----------------|-------|
| Reconciliation items:  |        |                |       |
| Unrealized gain (loss) on investments in equity securities held for operating purposes | 14,932 | 18,400         | 23.2  |
| Income (loss) before income taxes  | 68,048 | <u>273,047</u> | 301.3 |

\* **Major components**

Transactions between operating segments are recorded within segment results on commercial terms and conditions, and are eliminated in Other .

The following table presents the major components of income (loss) before income taxes in Other .

|  | Millions of yen                                      |                         | % Change<br>(B-A (A)) |
|--|--|-------------------------|-----------------------|
|  | For the nine months ended<br>December 31,<br>2012(A) | December 31,<br>2013(B) |                       |
| Net gain (loss) related to economic hedging transactions                             | 148  | 10,856                  |                       |
| Realized gain (loss) on investments in equity securities held for operating purposes | (165)  | 1,994                   |                       |
| Equity in earnings of affiliates   | 9,168  | 22,398                  | 144.3                 |
| Corporate items  | (15,220)   | (34,999)                |                       |
| Other  | (37,472)   | (14,448)                |                       |
| Total  | (43,541)   | (14,199)                |                       |

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

|  | Millions of yen                                      |                         | % Change<br>(B-A) (A) |
|--|--|-------------------------|-----------------------|
|  | For the nine months ended<br>December 31,<br>2012(A) | December 31,<br>2013(B) |                       |
| <b>Net revenue</b>   |  |                         |                       |
| Business segment information:  |  |                         |                       |
| Retail   | 259,176  | 414,047                 | 59.8                  |
| Asset Management   | 50,643   | 60,015                  | 18.5                  |
| Wholesale  | 447,945  | <b>566,623</b>          | 26.5                  |
| Subtotal   | 757,764  | <b>1,040,685</b>        | 37.3                  |
| Other  | 387,323  | 108,047                 | (72.1)                |
| Net revenue  | 1,145,087  | <b>1,148,732</b>        | 0.3                   |
| Reconciliation items:  |  |                         |                       |
| Unrealized gain (loss) on investments in equity securities held for operating purposes | 14,932   | 18,400                  | 23.2                  |
| Net revenue  | 1,160,019  | <b>1,167,132</b>        | 0.6                   |
| <b>Non-interest expenses</b>   |  |                         |                       |
| Business segment information:  |  |                         |                       |
| Retail   | 215,766  | 245,313                 | 13.7                  |
| Asset Management   | 33,395   | 38,226                  | 14.5                  |
| Wholesale  | 411,946  | 488,301                 | 18.5                  |
| Subtotal   | 661,107  | 771,840                 | 16.7                  |
| Other  | 430,864  | 122,246                 | (71.6)                |
| Non-interest expenses  | 1,091,971  | 894,086                 | (18.1)                |
| Reconciliation items:  |  |                         |                       |
| Unrealized gain (loss) on investments in equity securities held for operating purposes |  |                         |                       |
| Non-interest expenses  | 1,091,971  | 894,086                 | (18.1)                |
| <b>Income (loss) before income taxes</b>   |  |                         |                       |
| Business segment information:  |  |                         |                       |
| Retail   | 43,410   | 168,734                 | 288.7                 |
| Asset Management   | 17,248   | 21,789                  | 26.3                  |
| Wholesale  | 35,999   | <b>78,322</b>           | 117.6                 |
| Subtotal   | 96,657   | <b>268,845</b>          | 178.1                 |
| Other *  | (43,541)   | (14,199)                |                       |
| Income (loss) before income taxes  | 53,116   | <b>254,646</b>          | 379.4                 |
| Reconciliation items:  |  |                         |                       |

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|  |        |                |       |
|--|--------|----------------|-------|
| Unrealized gain (loss) on investments in equity securities held for operating purposes | 14,932 | 18,400         | 23.2  |
| Income (loss) before income taxes  | 68,048 | <b>273,046</b> | 301.3 |

**\* Major components**

Transactions between operating segments are recorded Within segment results on commercial terms and conditions, and are eliminated in Other .

The following table presents the major components of income (loss) before income taxes in Other .

|  | Millions of yen                                      |                         | % Change<br>(B-A) (A) |
|--|--|-------------------------|-----------------------|
|  | For the nine months ended<br>December 31,<br>2012(A) | December 31,<br>2013(B) |                       |
| Net gain (loss) related to economic hedging transactions                             | 148  | 10,856                  |                       |
| Realized gain (loss) on investments in equity securities held for operating purposes | (165)  | 1,994                   |                       |
| Equity in earnings of affiliates   | 9,168  | 22,398                  | 144.3                 |
| Corporate items  | (15,220)   | (34,999)                |                       |
| Other  | (37,472)   | (14,448)                |                       |
| Total  | (43,541)   | (14,199)                |                       |

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

|   | Millions of yen<br>For the nine months ended<br>December 31, 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        | (7,433)   |
| Issuance and exercise of common stock options | (2,867)   |
| Purchase / sale of subsidiary shares, net     | 231   |
| Balance at end of period                      | 681,195   |
| <b>Retained earnings</b>                      |   |
| Balance at beginning of year                  | 1,136,523   |
| Net income attributable to NHI shareholders   | <u>152,336</u>  |
| Cash dividends                                | (29,652)  |
| Balance at end of period                      | <u>1,259,207</u>  |
| <b>Accumulated other comprehensive income</b> |   |
| Cumulative translation adjustments            |   |
| Balance at beginning of year                  | (38,875)  |
| Net change during the period                  | 83,522  |
| Balance at end of period                      | 44,647  |
| <b>Defined benefit pension plans</b>          |   |
| Balance at beginning of year                  | (28,518)  |
| Pension liability adjustment                  | 1,909   |
| Balance at end of period                      | (26,609)  |
| <b>Non-trading securities</b>                 |   |
| Balance at beginning of year                  | 9,998   |
| Net unrealized gain on non-trading securities | 3,325   |
| Balance at end of period                      | 13,323  |
| Balance at end of period                      | 31,361  |
| <b>Common stock held in treasury</b>          |   |
| Balance at beginning of year                  | (70,514)  |
| Repurchases of common stock                   | <u>(32,491)</u>   |
| Sale of common stock                          | <u>1</u>  |

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|                                    |                         |
|------------------------------------|-------------------------|
| Common stock issued to employees   | 28,579                  |
| Other net change in treasury stock | 667                     |
| <b>Balance at end of period</b>    | <b><u>(73,758)</u></b>  |
| Total NHI shareholders' equity     |                         |
| <b>Balance at end of period</b>    | <b><u>2,492,498</u></b> |
| Noncontrolling interests           |                         |
| Balance at beginning of year       | 24,612                  |
| Net change during the period       | 11,360                  |
| <b>Balance at end of period</b>    | <b><u>35,972</u></b>    |
| Total equity                       |                         |
| <b>Balance at end of period</b>    | <b><u>2,528,470</u></b> |

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

|   | Millions of yen<br>For the nine months ended<br>December 31, 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        | (7,433)   |
| Issuance and exercise of common stock options | (2,867)   |
| Purchase / sale of subsidiary shares, net     | 231   |
| Balance at end of period                      | 681,195   |
| <b>Retained earnings</b>                      |   |
| Balance at beginning of year                  | 1,136,523   |
| Net income attributable to NHI shareholders   | <u>152,335</u>  |
| Cash dividends                                | (29,652)  |
| Balance at end of period                      | <u>1,259,206</u>  |
| <b>Accumulated other comprehensive income</b> |   |
| Cumulative translation adjustments            |   |
| Balance at beginning of year                  | (38,875)  |
| Net change during the period                  | 83,522  |
| Balance at end of period                      | 44,647  |
| <b>Defined benefit pension plans</b>          |   |
| Balance at beginning of year                  | (28,518)  |
| Pension liability adjustment                  | 1,909   |
| Balance at end of period                      | (26,609)  |
| <b>Non-trading securities</b>                 |   |
| Balance at beginning of year                  | 9,998   |
| Net unrealized gain on non-trading securities | 3,325   |
| Balance at end of period                      | 13,323  |
| Balance at end of period                      | 31,361  |
| <b>Common stock held in treasury</b>          |   |
| Balance at beginning of year                  | (70,514)  |
| Repurchases of common stock                   | <u>(32,502)</u>   |
| Sale of common stock                          | <u>9</u>  |
| Common stock issued to employees              | 28,579  |
| Other net change in treasury stock            | 667   |

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|                                |                         |
|--------------------------------|-------------------------|
| Balance at end of period       | <b><u>(73,761)</u></b>  |
| Total NHI shareholders' equity |                         |
| Balance at end of period       | <b><u>2,492,494</u></b> |
| Noncontrolling interests       |                         |
| Balance at beginning of year   | 24,612                  |
| Net change during the period   | 11,360                  |
| Balance at end of period       | 35,972                  |
| Total equity                   |                         |
| Balance at end of period       | <b><u>2,528,466</u></b> |

**Table of Contents****Original****3. Supplementary Information****(1) Consolidated Statements of Income Quarterly Comparatives (UNAUDITED)**

|   | Millions of yen<br>For the three months ended |                       |                      |                   |                  |                          | % Change<br>(B-A)/(A) | Millions of<br>yen<br>For the year ended<br>March 31,<br>2013 |                         |
|---|---|-----------------------|----------------------|-------------------|------------------|--------------------------|-----------------------|---|-------------------------|
|   | June 30,<br>2012                              | September 30,<br>2012 | December 31,<br>2012 | March 31,<br>2013 | June 30,<br>2013 | September 30,<br>2013(A) |                       |   | December 31,<br>2013(B) |
| <b>Revenue:</b>                                 |   |                       |                      |                   |                  |                          |                       |   |                         |
| Commissions                                     | 77,367  | 72,279                | 83,681               | 125,742           | 157,634          | 105,613                  | 121,434               | 15.0  | 359,069                 |
| Fees from investment banking                    | 10,383  | 17,131                | 13,027               | 21,812            | 25,394           | 22,984                   | 15,769                | (31.4)  | 62,353                  |
| Asset management and portfolio service fees     | 33,813  | 33,411                | 35,017               | 38,788            | 42,381           | 40,702                   | 42,074                | 3.4   | 141,029                 |
| Net gain on trading                             | 84,399  | 88,929                | 88,188               | 106,463           | 128,409          | <b>110,181</b>           | 108,544               | (1.5)   | 367,979                 |
| Gain (loss) on private equity investments       | (5,387)                                       | 299                   | 11,631               | 1,510             | 50               | 703                      | 10,985                |   | 8,053                   |
| Interest and dividends                          | 103,469                                       | 92,834                | 99,745               | 97,959            | 115,325          | 98,091                   | 102,602               | 4.6   | 394,007                 |
| Gain (loss) on investments in equity securities | (7,061)                                       | 12,970                | 8,858                | 23,919            | 7,852            | 5,037                    | 7,505                 | 49.0  | 38,686                  |
| Other   | 142,610                                       | 143,373               | 118,834              | 303,950           | 28,225           | 45,069                   | 38,508                | (14.6)  | 708,767                 |
| <b>Total revenue</b>                            | <b>439,593</b>                                | <b>461,226</b>        | <b>458,981</b>       | <b>720,143</b>    | <b>505,270</b>   | <b>428,380</b>           | <b>447,421</b>        | <b>4.4</b>  | <b>2,079,943</b>        |
| Interest expense                                | 70,339  | 59,547                | 69,895               | 66,531            | 73,949           | 71,989                   | 68,000                | (5.5)   | 266,312                 |
| <b>Net revenue</b>                              | <b>369,254</b>                                | <b>401,679</b>        | <b>389,086</b>       | <b>653,612</b>    | <b>431,321</b>   | <b>356,391</b>           | <b>379,421</b>        | <b>6.5</b>  | <b>1,813,631</b>        |
| <b>Non-interest expenses:</b>                   |   |                       |                      |                   |                  |                          |                       |   |                         |
| Compensation and benefits                       | 124,573                                       | 133,696               | 134,698              | 154,624           | 163,205          | 135,391                  | 138,822               | 2.5   | 547,591                 |
| Commissions and floor brokerage                 | 21,978  | 21,904                | 22,918               | 24,588            | 29,046           | 26,134                   | 27,974                | 7.0   | 91,388                  |
| Information processing and communications       | 42,524  | 45,145                | 42,672               | 49,563            | 48,233           | 46,240                   | 47,755                | 3.3   | 179,904                 |
| Occupancy and related depreciation              | 24,110  | 22,140                | 22,179               | 23,116            | 19,784           | 20,830                   | 18,999                | (8.8)   | 91,545                  |
| Business development expenses                   | 11,329  | 11,173                | 12,051               | 14,457            | 7,859            | 9,473                    | 11,029                | 16.4  | 49,010                  |
| Other   | 125,074                                       | 132,204               | 141,603              | 217,582           | 49,975           | 45,389                   | 47,948                | 5.6   | 616,463                 |
| <b>Total non-interest expenses</b>              | <b>349,588</b>                                | <b>366,262</b>        | <b>376,121</b>       | <b>483,930</b>    | <b>318,102</b>   | <b>283,457</b>           | <b>292,527</b>        | <b>3.2</b>  | <b>1,575,901</b>        |
| <b>Income before income taxes</b>               | <b>19,666</b>                                 | <b>35,417</b>         | <b>12,965</b>        | <b>169,682</b>    | <b>113,219</b>   | <b>72,934</b>            | <b>86,894</b>         | <b>19.1</b>   | <b>237,730</b>          |
| Income tax expense                              | 13,590  | 30,056                | 12,874               | 75,519            | 46,956           | 34,549                   | 37,769                | 9.3   | 132,039                 |
| <b>Net income</b>                               | <b>6,076</b>                                  | <b>5,361</b>          | <b>91</b>            | <b>94,163</b>     | <b>66,263</b>    | <b>38,385</b>            | <b>49,125</b>         | <b>28.0</b>   | <b>105,691</b>          |

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|  |       |       |          |        |     |     |     |       |         |
|--|-------|-------|----------|--------|-----|-----|-----|-------|---------|
| Less: Net income (loss) attributable to noncontrolling interests | 4,185 | 2,552 | (20,021) | 11,741 | 369 | 272 | 796 | 192.6 | (1,543) |
|--|-------|-------|----------|--------|-----|-----|-----|-------|---------|

|   |       |       |        |        |        |                      |        |      |         |
|---|-------|-------|--------|--------|--------|----------------------|--------|------|---------|
| Net income attributable to NHI shareholders | 1,891 | 2,809 | 20,112 | 82,422 | 65,894 | <b><u>38,113</u></b> | 48,329 | 26.8 | 107,234 |
|---|-------|-------|--------|--------|--------|----------------------|--------|------|---------|

|   | Yen  |      |      |       | % Change |       |       |      | Yen   |
|---|------|------|------|-------|----------|-------|-------|------|-------|
| Per share of common stock:                            |      |      |      |       |          |       |       |      |       |
| Basic-  |      |      |      |       |          |       |       |      |       |
| Net income attributable to NHI shareholders per share | 0.51 | 0.76 | 5.44 | 22.23 | 17.78    | 10.29 | 13.02 | 26.5 | 29.04 |
| Diluted-  |      |      |      |       |          |       |       |      |       |
| Net income attributable to NHI shareholders per share | 0.50 | 0.74 | 5.33 | 21.55 | 17.24    | 9.99  | 12.65 | 26.6 | 28.37 |

**Table of Contents****Corrected****3. Supplementary Information****(1) Consolidated Statements of Income Quarterly Comparatives (UNAUDITED)**

|   | Millions of yen<br>For the three months ended |                       |                      |                   |                  |                          | % Change<br>(B-A)/(A) | Millions of<br>yen<br>For the year ended<br>March 31,<br>2013 |                         |
|---|---|-----------------------|----------------------|-------------------|------------------|--------------------------|-----------------------|---|-------------------------|
|   | June 30,<br>2012                              | September 30,<br>2012 | December 31,<br>2012 | March 31,<br>2013 | June 30,<br>2013 | September 30,<br>2013(A) |                       |   | December 31,<br>2013(B) |
| <b>Revenue:</b>                                 |   |                       |                      |                   |                  |                          |                       |   |                         |
| Commissions                                     | 77,367  | 72,279                | 83,681               | 125,742           | 157,634          | 105,613                  | 121,434               | 15.0  | 359,069                 |
| Fees from investment banking                    | 10,383  | 17,131                | 13,027               | 21,812            | 25,394           | 22,984                   | 15,769                | (31.4)  | 62,353                  |
| Asset management and portfolio service fees     | 33,813  | 33,411                | 35,017               | 38,788            | 42,381           | 40,702                   | 42,074                | 3.4   | 141,029                 |
| Net gain on trading                             | 84,399  | 88,929                | 88,188               | 106,463           | 128,409          | <b>110,180</b>           | 108,544               | (1.5)   | 367,979                 |
| Gain (loss) on private equity investments       | (5,387)                                       | 299                   | 11,631               | 1,510             | 50               | 703                      | 10,985                |   | 8,053                   |
| Interest and dividends                          | 103,469                                       | 92,834                | 99,745               | 97,959            | 115,325          | 98,091                   | 102,602               | 4.6   | 394,007                 |
| Gain (loss) on investments in equity securities | (7,061)                                       | 12,970                | 8,858                | 23,919            | 7,852            | 5,037                    | 7,505                 | 49.0  | 38,686                  |
| Other   | 142,610                                       | 143,373               | 118,834              | 303,950           | 28,225           | 45,069                   | 38,508                | (14.6)  | 708,767                 |
| <b>Total revenue</b>                            | <b>439,593</b>                                | <b>461,226</b>        | <b>458,981</b>       | <b>720,143</b>    | <b>505,270</b>   | <b>428,379</b>           | <b>447,421</b>        | <b>4.4</b>  | <b>2,079,943</b>        |
| Interest expense                                | 70,339  | 59,547                | 69,895               | 66,531            | 73,949           | 71,989                   | 68,000                | (5.5)   | 266,312                 |
| <b>Net revenue</b>                              | <b>369,254</b>                                | <b>401,679</b>        | <b>389,086</b>       | <b>653,612</b>    | <b>431,321</b>   | <b>356,390</b>           | <b>379,421</b>        | <b>6.5</b>  | <b>1,813,631</b>        |
| <b>Non-interest expenses:</b>                   |   |                       |                      |                   |                  |                          |                       |   |                         |
| Compensation and benefits                       | 124,573                                       | 133,696               | 134,698              | 154,624           | 163,205          | 135,391                  | 138,822               | 2.5   | 547,591                 |
| Commissions and floor brokerage                 | 21,978  | 21,904                | 22,918               | 24,588            | 29,046           | 26,134                   | 27,974                | 7.0   | 91,388                  |
| Information processing and communications       | 42,524  | 45,145                | 42,672               | 49,563            | 48,233           | 46,240                   | 47,755                | 3.3   | 179,904                 |
| Occupancy and related depreciation              | 24,110  | 22,140                | 22,179               | 23,116            | 19,784           | 20,830                   | 18,999                | (8.8)   | 91,545                  |
| Business development expenses                   | 11,329  | 11,173                | 12,051               | 14,457            | 7,859            | 9,473                    | 11,029                | 16.4  | 49,010                  |
| Other   | 125,074                                       | 132,204               | 141,603              | 217,582           | 49,975           | 45,389                   | 47,948                | 5.6   | 616,463                 |
| <b>Total non-interest expenses</b>              | <b>349,588</b>                                | <b>366,262</b>        | <b>376,121</b>       | <b>483,930</b>    | <b>318,102</b>   | <b>283,457</b>           | <b>292,527</b>        | <b>3.2</b>  | <b>1,575,901</b>        |
| <b>Income before income taxes</b>               | <b>19,666</b>                                 | <b>35,417</b>         | <b>12,965</b>        | <b>169,682</b>    | <b>113,219</b>   | <b>72,933</b>            | <b>86,894</b>         | <b>19.1</b>   | <b>237,730</b>          |
| Income tax expense                              | 13,590  | 30,056                | 12,874               | 75,519            | 46,956           | 34,549                   | 37,769                | 9.3   | 132,039                 |
| <b>Net income</b>                               | <b>6,076</b>                                  | <b>5,361</b>          | <b>91</b>            | <b>94,163</b>     | <b>66,263</b>    | <b>38,384</b>            | <b>49,125</b>         | <b>28.0</b>   | <b>105,691</b>          |

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|  |       |       |          |        |     |     |     |       |         |
|--|-------|-------|----------|--------|-----|-----|-----|-------|---------|
| Less: Net income (loss) attributable to noncontrolling interests | 4,185 | 2,552 | (20,021) | 11,741 | 369 | 272 | 796 | 192.6 | (1,543) |
|--|-------|-------|----------|--------|-----|-----|-----|-------|---------|

|   |       |       |        |        |        |                      |        |      |         |
|---|-------|-------|--------|--------|--------|----------------------|--------|------|---------|
| Net income attributable to NHI shareholders | 1,891 | 2,809 | 20,112 | 82,422 | 65,894 | <b><u>38,112</u></b> | 48,329 | 26.8 | 107,234 |
|---|-------|-------|--------|--------|--------|----------------------|--------|------|---------|

|   | Yen  |      |      |       | % Change |       |       |      | Yen   |
|---|------|------|------|-------|----------|-------|-------|------|-------|
| Per share of common stock:                            |      |      |      |       |          |       |       |      |       |
| Basic-  |      |      |      |       |          |       |       |      |       |
| Net income attributable to NHI shareholders per share | 0.51 | 0.76 | 5.44 | 22.23 | 17.78    | 10.29 | 13.02 | 26.5 | 29.04 |
| Diluted-  |      |      |      |       |          |       |       |      |       |
| Net income attributable to NHI shareholders per share | 0.50 | 0.74 | 5.33 | 21.55 | 17.24    | 9.99  | 12.65 | 26.6 | 28.37 |

**Table of Contents****Original****(2) Business Segment Information Quarterly Comparatives (UNAUDITED)**

The following table shows quarterly business segment information and reconciliation items to the consolidated statements of income.

|  | Millions of yen<br>For the three months ended |                       |                      |                   |                  |                          | % Change<br>(B-A)/(A) | Millions of yen<br>For the year ended<br>March 31,<br>2013 |                         |
|--|---|-----------------------|----------------------|-------------------|------------------|--------------------------|-----------------------|--|-------------------------|
|  | June 30,<br>2012                              | September 30,<br>2012 | December 31,<br>2012 | March 31,<br>2013 | June 30,<br>2013 | September 30,<br>2013(A) |                       |  | December 31,<br>2013(B) |
| <b>Net revenue</b>   |   |                       |                      |                   |                  |                          |                       |  |                         |
| Business segment information:  |   |                       |                      |                   |                  |                          |                       |  |                         |
| Retail   | 82,711  | 80,786                | 95,679               | 138,749           | 166,342          | 119,730                  | 127,975               | 6.9  | 397,925                 |
| Asset Management   | 16,418  | 15,439                | 18,786               | 18,294            | 20,174           | 18,626                   | 21,215                | 13.9   | 68,937                  |
| Wholesale  | 121,883                                       | 137,094               | 188,968              | 196,911           | 194,609          | <b>183,349</b>           | 188,666               | 2.9  | 644,856                 |
| Subtotal   | 221,012                                       | 233,319               | 303,433              | 353,954           | 381,125          | <b>321,705</b>           | 337,856               | 5.0  | 1,111,718               |
| Other  | 154,567                                       | 156,003               | 76,753               | 276,905           | 43,032           | 29,649                   | 35,366                | 19.3   | 664,228                 |
| Net revenue  | 375,579                                       | 389,322               | 380,186              | 630,859           | 424,157          | <b>351,354</b>           | 373,222               | 6.2  | 1,775,946               |
| Reconciliation items:  |   |                       |                      |                   |                  |                          |                       |  |                         |
| Unrealized gain (loss) on investments in equity securities held for operating purposes | (6,325)                                       | 12,357                | 8,900                | 22,753            | 7,164            | 5,037                    | 6,199                 | 23.1   | 37,685                  |
| Net revenue  | 369,254                                       | 401,679               | 389,086              | 653,612           | 431,321          | <b>356,391</b>           | 379,421               | 6.5  | 1,813,631               |
| <b>Non-interest expenses</b>   |   |                       |                      |                   |                  |                          |                       |  |                         |
| Business segment information:  |   |                       |                      |                   |                  |                          |                       |  |                         |
| Retail   | 70,523  | 69,824                | 75,419               | 81,531            | 85,237           | 79,774                   | 80,302                | 0.7  | 297,297                 |
| Asset Management   | 11,048  | 10,879                | 11,468               | 14,373            | 13,483           | 12,454                   | 12,289                | (1.3)  | 47,768                  |
| Wholesale  | 130,434                                       | 136,901               | 144,611              | 161,253           | 169,372          | 158,063                  | 160,866               | 1.8  | 573,199                 |
| Subtotal   | 212,005                                       | 217,604               | 231,498              | 257,157           | 268,092          | 250,291                  | 253,457               | 1.3  | 918,264                 |
| Other  | 137,583                                       | 148,658               | 144,623              | 226,773           | 50,010           | 33,166                   | 39,070                | 17.8   | 657,637                 |
| Non-interest expenses  | 349,588                                       | 366,262               | 376,121              | 483,930           | 318,102          | 283,457                  | 292,527               | 3.2  | 1,575,901               |
| Reconciliation items:  |   |                       |                      |                   |                  |                          |                       |  |                         |
| Unrealized gain (loss) on investments in equity securities held for operating purposes |   |                       |                      |                   |                  |                          |                       |  |                         |
| Non-interest expenses  | 349,588                                       | 366,262               | 376,121              | 483,930           | 318,102          | 283,457                  | 292,527               | 3.2  | 1,575,901               |

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| <b>Income (loss) before income taxes</b>   |         |        |          |         |         |               |         |             |         |
|--|---------|--------|----------|---------|---------|---------------|---------|-------------|---------|
| Business segment information:  |         |        |          |         |         |               |         |             |         |
| Retail   | 12,188  | 10,962 | 20,260   | 57,218  | 81,105  | 39,956        | 47,673  | 19.3        | 100,628 |
| Asset Management   | 5,370   | 4,560  | 7,318    | 3,921   | 6,691   | 6,172         | 8,926   | 44.6        | 21,169  |
| Wholesale  | (8,551) | 193    | 44,357   | 35,658  | 25,237  | <b>25,286</b> | 27,800  | 9.9         | 71,657  |
| Subtotal   | 9,007   | 15,715 | 71,935   | 96,797  | 113,033 | <b>71,414</b> | 84,399  | 18.2        | 193,454 |
| Other*   | 16,984  | 7,345  | (67,870) | 50,132  | (6,978) | (3,517)       | (3,704) |             | 6,591   |
| Income (loss) before income taxes  | 25,991  | 23,060 | 4,065    | 146,929 | 106,055 | <b>67,897</b> | 80,695  | <b>18.8</b> | 200,045 |
| Reconciliation items:  |         |        |          |         |         |               |         |             |         |
| Unrealized gain (loss) on investments in equity securities held for operating purposes | (6,325) | 12,357 | 8,900    | 22,753  | 7,164   | 5,037         | 6,199   | 23.1        | 37,685  |
| Income (loss) before income taxes  | 19,666  | 35,417 | 12,965   | 169,682 | 113,219 | <b>72,934</b> | 86,894  | 19.1        | 237,730 |

\* **Major components**

Transactions between operating segments are recorded within segment results on commercial terms and conditions, and are eliminated in Other .

The following table presents the major components of income (loss) before income taxes in Other .

|  | Millions of yen<br>For the three months ended |                    |                   |                |               |                       | December 31, 2013(B) | % Change<br>(B-A)/(A) | Millions of yen<br>For the year ended<br>March 31, 2013 |
|--|---|--------------------|-------------------|----------------|---------------|-----------------------|----------------------|-----------------------|---|
|  | June 30, 2012                                 | September 30, 2012 | December 31, 2012 | March 31, 2013 | June 30, 2013 | September 30, 2013(A) |                      |                       |   |
| Net gain (loss) related to economic hedging transactions                             | (1,231)                                       | 964                | 415               | 841            | 7,373         | (1,667)               | 5,150                | 989                   |   |
| Realized gain (loss) on investments in equity securities held for operating purposes | (736)   | 613                | (42)              | 1,166          | 688           | 0                     | 1,306                | 1,001                 |   |
| Equity in earnings of affiliates   | 1,273   | 3,346              | 4,549             | 5,233          | 5,343         | 8,884                 | 8,171                | (8.0)                 |   |
| Corporate items  | 6,624   | (7,044)            | (14,800)          | 32,872         | (12,344)      | (8,701)               | (13,954)             | 17,652                |   |
| Other  | 11,054  | 9,466              | (57,992)          | 10,020         | (8,038)       | (2,033)               | (4,377)              | (27,452)              |   |
| Total  | 16,984  | 7,345              | (67,870)          | 50,132         | (6,978)       | (3,517)               | (3,704)              | 6,591                 |   |

**Table of Contents****Corrected****(2) Business Segment Information Quarterly Comparatives (UNAUDITED)**

The following table shows quarterly business segment information and reconciliation items to the consolidated statements of income.

|   | Millions of yen<br>For the three months ended |                       |                      |                   |                  |                          | % Change<br>(B-A)/(A) | Millions of yen<br>For the year ended<br>March 31,<br>2013 |                         |
|---|---|-----------------------|----------------------|-------------------|------------------|--------------------------|-----------------------|--|-------------------------|
|   | June 30,<br>2012                              | September 30,<br>2012 | December 31,<br>2012 | March 31,<br>2013 | June 30,<br>2013 | September 30,<br>2013(A) |                       |  | December 31,<br>2013(B) |
| <b>Net revenue</b>  |   |                       |                      |                   |                  |                          |                       |  |                         |
| Business segment information:   |   |                       |                      |                   |                  |                          |                       |  |                         |
| Retail  | 82,711  | 80,786                | 95,679               | 138,749           | 166,342          | 119,730                  | 127,973               | 6.9  | 397,925                 |
| Asset Management  | 16,418  | 15,439                | 18,786               | 18,294            | 20,174           | 18,626                   | 21,215                | 13.9   | 68,937                  |
| Wholesale   | 121,883                                       | 137,094               | 188,968              | 196,911           | 194,609          | <b>183,348</b>           | 188,666               | 2.9  | 644,856                 |
| Subtotal  | 221,012                                       | 233,319               | 303,433              | 353,954           | 381,125          | <b>321,704</b>           | 337,856               | 5.0  | 1,111,718               |
| Other   | 154,567                                       | 156,003               | 76,753               | 276,905           | 43,032           | 29,649                   | 35,366                | 19.3   | 664,228                 |
| Net revenue   | 375,579                                       | 389,322               | 380,186              | 630,859           | 424,157          | <b>351,353</b>           | 373,222               | 6.2  | 1,775,946               |
| Reconciliation items:   |   |                       |                      |                   |                  |                          |                       |  |                         |
| Unrealized gain (loss)<br>on investments in<br>equity securities held<br>for operating purposes | (6,325)                                       | 12,357                | 8,900                | 22,753            | 7,164            | 5,037                    | 6,199                 | 23.1   | 37,685                  |
| Net revenue   | 369,254                                       | 401,679               | 389,086              | 653,612           | 431,321          | <b>356,390</b>           | 379,421               | 6.5  | 1,813,631               |
| <b>Non-interest expenses</b>  |   |                       |                      |                   |                  |                          |                       |  |                         |
| Business segment information:   |   |                       |                      |                   |                  |                          |                       |  |                         |
| Retail  | 70,523  | 69,824                | 75,419               | 81,531            | 85,237           | 79,774                   | 80,302                | 0.7  | 297,297                 |
| Asset Management  | 11,048  | 10,879                | 11,468               | 14,373            | 13,483           | 12,454                   | 12,389                | (1.3)  | 47,768                  |
| Wholesale   | 130,434                                       | 136,901               | 144,611              | 161,253           | 169,372          | 158,063                  | 160,866               | 1.8  | 573,199                 |
| Subtotal  | 212,005                                       | 217,604               | 231,498              | 257,157           | 268,092          | 250,291                  | 253,457               | 1.3  | 918,264                 |
| Other   | 137,583                                       | 148,658               | 144,623              | 226,773           | 50,010           | 33,166                   | 39,070                | 17.8   | 657,637                 |
| Non-interest expenses   | 349,588                                       | 366,262               | 376,121              | 483,930           | 318,102          | 283,457                  | 292,527               | 3.2  | 1,575,901               |
| Reconciliation items:   |   |                       |                      |                   |                  |                          |                       |  |                         |
| Unrealized gain (loss)<br>on investments in<br>equity securities held<br>for operating purposes |   |                       |                      |                   |                  |                          |                       |  |                         |

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|                       |         |         |         |         |         |         |         |     |           |
|-----------------------|---------|---------|---------|---------|---------|---------|---------|-----|-----------|
| Non-interest expenses | 349,588 | 366,262 | 376,121 | 483,930 | 318,102 | 283,457 | 292,527 | 3.2 | 1,575,901 |
|-----------------------|---------|---------|---------|---------|---------|---------|---------|-----|-----------|

**Income (loss) before income taxes**

|                               |         |        |          |        |         |               |         |      |         |
|-------------------------------|---------|--------|----------|--------|---------|---------------|---------|------|---------|
| Business segment information: |         |        |          |        |         |               |         |      |         |
| Retail                        | 12,188  | 10,962 | 20,260   | 57,218 | 81,105  | 39,956        | 47,673  | 19.3 | 100,628 |
| Asset Management              | 5,370   | 4,560  | 7,318    | 3,921  | 6,691   | 6,172         | 8,926   | 44.6 | 21,169  |
| Wholesale                     | (8,551) | 193    | 44,357   | 35,658 | 25,237  | <u>25,285</u> | 27,800  | 9.9  | 71,657  |
| Subtotal                      | 9,007   | 15,715 | 71,935   | 96,797 | 113,033 | <u>71,413</u> | 84,399  | 18.2 | 193,454 |
| Other*                        | 16,984  | 7,345  | (67,870) | 50,132 | (6,978) | (3,517)       | (3,704) |      | 6,591   |

|                                   |        |        |       |         |         |               |        |             |         |
|-----------------------------------|--------|--------|-------|---------|---------|---------------|--------|-------------|---------|
| Income (loss) before income taxes | 25,991 | 23,060 | 4,065 | 146,929 | 106,055 | <u>67,896</u> | 80,695 | <u>18.9</u> | 200,045 |
|-----------------------------------|--------|--------|-------|---------|---------|---------------|--------|-------------|---------|

Reconciliation items:

|  |         |        |       |        |       |       |       |      |        |
|--|---------|--------|-------|--------|-------|-------|-------|------|--------|
| Unrealized gain (loss) on investments in equity securities held for operating purposes | (6,325) | 12,357 | 8,900 | 22,753 | 7,164 | 5,037 | 6,199 | 23.1 | 37,685 |
|--|---------|--------|-------|--------|-------|-------|-------|------|--------|

|                                   |        |        |        |         |         |               |        |      |         |
|-----------------------------------|--------|--------|--------|---------|---------|---------------|--------|------|---------|
| Income (loss) before income taxes | 19,666 | 35,417 | 12,965 | 169,682 | 113,219 | <u>72,933</u> | 86,894 | 19.1 | 237,730 |
|-----------------------------------|--------|--------|--------|---------|---------|---------------|--------|------|---------|

\* **Major components**

Transactions between operating segments are recorded within segment results on commercial terms and conditions, and are eliminated in Other .

The following table presents the major components of income (loss) before income taxes in Other .

|  | Millions of yen<br>For the three months ended |                       |                      |                   |                  |                          |                         | % Change<br>(B-A)/(A) | Millions of yen<br>For the year ended<br>March 31,<br>2013 |
|--|---|-----------------------|----------------------|-------------------|------------------|--------------------------|-------------------------|-----------------------|--|
|  | June 30,<br>2012                              | September 30,<br>2012 | December 31,<br>2012 | March 31,<br>2013 | June 30,<br>2013 | September 30,<br>2013(A) | December 31,<br>2013(B) |                       |  |
| Net gain (loss) related to economic hedging transactions                             | (1,231)                                       | 964                   | 415                  | 841               | 7,373            | (1,667)                  | 5,150                   |                       | 989  |
| Realized gain (loss) on investments in equity securities held for operating purposes | (736)   | 613                   | (42)                 | 1,166             | 688              | 0                        | 1,306                   |                       | 1,001  |
| Equity in earnings of affiliates   | 1,273   | 3,346                 | 4,549                | 5,233             | 5,343            | 8,884                    | 8,171                   | (8.0)                 | 14,401   |
| Corporate items  | 6,624   | (7,044)               | (14,800)             | 32,872            | (12,344)         | (8,701)                  | (13,954)                |                       | 17,652   |
| Other  | 11,054  | 9,466                 | (57,992)             | 10,020            | (8,038)          | (2,033)                  | (4,377)                 |                       | (27,452)   |
| Total  | 16,984  | 7,345                 | (67,870)             | 50,132            | (6,978)          | (3,517)                  | (3,704)                 |                       | 6,591  |

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ends

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|-----------------------|--------------------------------------|------------------|
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| Keiko Sugai<br>Nomura | Group Corporate Communications Dept. |                  |

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