

NOMURA HOLDINGS INC
Form 6-K
November 13, 2018
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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 November 2018

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. (English Translation) Share Buyback Report for the reporting month from October 1, 2018 to October 31, 2018.

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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: November 13, 2018

By: /s/ Hajime Ikeda
Hajime Ikeda
Senior Managing Director

Table of Contents*[Translation of Share Buyback Report for the reporting month from October 1, 2018 to October 31, 2018**filed with the Director General of the Kanto Finance Bureau by Nomura Holdings, Inc. on November 13, 2018]***Class of Shares: Common Stock****1. Status of repurchase**

(1) Status of a repurchase pursuant to a resolution at a general meeting of shareholders

Not applicable

(2) Status of a repurchase pursuant to a resolution at the meeting of a board of directors (Board)

as of October 31, 2018

| | Number of Shares | Total Repurchase Amount (JPY) |
|--|------------------|-------------------------------------|
| Authorization pursuant to the resolution of the Board (April 26, 2018) | | |
| (Period of repurchase: from May 16, 2018 to March 29, 2019 (excluding the ten business days following the announcement of each quarterly financial results)) | 100,000,000 | 70,000,000,000 |
| Repurchases during this reporting month (Date of repurchase) | (Date) | |
| | October 1 | 1,550,000 859,332,680 |
| | October 2 | 1,550,000 851,737,200 |
| | October 3 | |
| | October 4 | 1,660,000 922,110,360 |
| | October 5 | |
| | October 9 | 1,558,200 877,155,920 |
| | October 10 | |
| | October 11 | 1,850,000 1,031,548,910 |
| | October 12 | |
| | October 15 | 1,841,300 1,032,471,800 |
| | October 16 | 1,850,000 993,737,420 |
| | October 17 | |
| | October 18 | 1,811,300 969,213,710 |
| | October 19 | |
| | October 22 | 2,000,000 1,065,347,010 |

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| | | | |
|--|------------|-------------------|-----------------------|
| | October 23 | 1,920,000 | 1,027,389,860 |
| | October 24 | | |
| | October 25 | 1,947,200 | 1,076,721,420 |
| | October 26 | | |
| | October 29 | 2,000,000 | 1,117,043,920 |
| | October 30 | 1,939,100 | 1,066,908,060 |
| | October 31 | | |
| | | 1,740,200 | 963,443,920 |
| | | 1,910,000 | 1,044,110,670 |
| | | 1,910,000 | 1,039,067,540 |
| | | 1,910,000 | 1,003,568,790 |
| | | 1,910,000 | 1,011,099,020 |
| | | 1,850,000 | 987,552,470 |
| | | 1,850,000 | 983,349,220 |
| | | 1,685,300 | 914,066,620 |
| Total | | 39,463,100 | 21,504,772,650 |
| Aggregate shares repurchased as of the end of this reporting month | | 58,613,100 | 31,432,469,270 |
| Progress of share repurchase (%) | | 58.6 | 44.9 |

Table of Contents**2. Status of disposition**

as of October 31, 2018

| | Number of shares disposed in the reporting month (Date) | Aggregate amount of disposition (JPY) |
|---|--|--|
| Treasury shares disposed subject to procedures for issuance of new shares | | |
| Subtotal | | |
| Treasury shares canceled | (Date) | |
| Subtotal | | |
| Treasury shares transferred upon merger, share exchange or demerger | (Date) | |
| Subtotal | | |
| Other (upon request for purchasing less-than-a-full-unit shares) | (Date) | |
| | October 12 | 5 |
| | | 2,770 |
| Subtotal | | 5 |
| | | 2,770 |
| Other (exercise of stock acquisition rights) | (Date) | 76,900 |
| | October 1 | 40,000 |
| | October 2 | 25,400 |
| | October 3 | 21,000 |
| | October 4 | 8,000 |
| | October 5 | 34,700 |
| | October 9 | 70,700 |
| | October 10 | 10,000 |
| | October 12 | 10,500 |
| | October 15 | 10,000 |
| | October 16 | 18,200 |
| | October 17 | 385,400 |

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| | | | |
|----------|------------|-----------|------------|
| | October 18 | 19,000 | 5,681,000 |
| | October 19 | 10,000 | 2,990,000 |
| | October 22 | 330,300 | 3,607,300 |
| | October 23 | 347,100 | 1,837,100 |
| | October 24 | 138,700 | 3,411,700 |
| | October 25 | 20,900 | 1,808,900 |
| | October 26 | 59,700 | 11,085,700 |
| | October 29 | 95,800 | 1,883,800 |
| | October 30 | 41,000 | 3,617,000 |
| | October 31 | | |
| Subtotal | | 1,773,300 | 85,774,300 |
| Total | | 1,773,305 | 85,777,070 |

3. Status of shares held in treasury

as of October 31, 2018

| As of the end of the reporting month | Number of Shares |
|--------------------------------------|------------------|
| Total number of issued shares | 3,643,562,601 |
| Number of shares held in treasury | 298,432,403 |