

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

NOMURA HOLDINGS INC  
Form 13F-HR  
November 10, 2009

OMB APPROVAL  
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OMB Number:  
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UNITED STATES  
SECURITIES AND EXCHANGE COMMISSION  
Washington, D.C. 20549

FORM 13F

FORM 13f Cover Page

Report for the Calendar Year or Quarter Ended September 30, 2009

If amended report check here:  Amendment Number: \_\_\_\_\_

This Amendment (Check only one):  is a restatement  
 adds new holding  
entries.

PRIOR FILINGS FOR THE NOMURA GROUP WERE REPORTED UNDER THE NAME NOMURA SECURITIES COMPANY, WITH CIK NUMBER 0000110097. SUBSEQUENT FILINGS WILL BE MADE UNDER THE NAME NOMURA HOLDINGS, INC., CIK NUMBER 0001163653. NOMURA HOLDINGS, INC. (NHI) IS THE PARENT HOLDING COMPANY OF A NUMBER OF OPERATING SUBSIDIARIES, SOME OF WHICH ARE OR MAY BE INSTITUTIONAL INVESTMENT MANAGERS FOR THE PURPOSES OF THE REPORTING REQUIREMENTS UNDER SECTION 13(F) OF THE SECURITIES EXCHANGE ACT OF 1934 (THE ACT) AND THE RULES PROMULGATED THEREUNDER. NHI ITSELF DOES NOT DIRECTLY EXERCISE INVESTMENT DISCRETION WITH RESPECT TO ANY SECTION 13(F) SECURITIES POSITIONS. IN THAT NHI'S OWNERSHIP INTEREST IN SUCH OPERATING SUBSIDIARIES IS DEEMED THE EXERCISE OF INVESTMENT DISCRETION REGARDING CERTAIN OF SUCH SUBSIDIARIES' MANAGED ACCOUNTS, THE INFORMATION REQUIRED BY FORM 13F IS REPORTED BY NHI ON BEHALF OF CERTAIN OF NHI'S OPERATING SUBSIDIARIES WHICH ARE INSTITUTIONAL INVESTMENT MANAGERS SUBJECT TO SECTION 13(F) OF THE ACT.

Nomura Holdings Inc.

-----  
Name of Institutional Investment Manager

1-9-1, Nihonbashi, Chuo-ku, Tokyo 103-8011, Japan

-----  
Business Address (Street) (City) (State) (Zip)

13F File Number: 001-15270

The institutional investment manager filing this report and the person by whom it is signed hereby represent that the person signing the report is authorized



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

QUARTER ENDING

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| NAME OF ISSUER               | TITLE<br>OF CLASS | CUSIP     | VALUE<br>X1000 | SHARES<br>PRN AMT | SH<br>PRN | PUT<br>CALL | INVTMT<br>DSCRETN | OT<br>MAN |
|------------------------------|-------------------|-----------|----------------|-------------------|-----------|-------------|-------------------|-----------|
| 0                            |                   |           |                |                   |           |             |                   |           |
| DEUTSCHE BANK AG             |                   | D18190898 | 70,810         | 000000970000      | SH        |             | DEFINED           | 01        |
| ACCENTURE LTD BERMUDA        |                   | G1150G111 | 16,912         | 000000455922      | SH        |             | DEFINED           | 02        |
| COVIDIEN PLC                 |                   | G2554F105 | 38,558         | 000000891321      | SH        |             | DEFINED           | 02        |
| UTI WORLDWIDE INC            |                   | G87210103 | 6,789          | 000000468893      | SH        |             | DEFINED           | 02        |
| XL CAP LTD                   |                   | G98255105 | 1,086          | 000000064700      | SH        |             | DEFINED           | 01        |
| MILLICOM INTL CELLULAR S A   |                   | L6388F110 | 824            | 000000011600      | SH        |             | DEFINED           | 01        |
| AFLAC INC                    |                   | 001055102 | 949            | 000000022503      | SH        |             | DEFINED           | 02        |
| AES CORP                     |                   | 00130H105 | 1,936          | 000000140000      | SH        |             | DEFINED           | 01        |
| AMR CORP                     |                   | 001765106 | 179            | 000000022583      | SH        |             | DEFINED           | 02        |
| AT&T INC                     |                   | 00206R102 | 1,613          | 000000059721      | SH        |             | DEFINED           | 02        |
| ABBOTT LABS                  |                   | 002824100 | 1,096          | 000000022475      | SH        |             | DEFINED           | 02        |
| AETNA INC NEW                |                   | 00817Y108 | 11,394         | 000000409433      | SH        |             | DEFINED           | 02        |
| AGRIUM INC                   |                   | 008916108 | 32,842         | 000000659630      | SH        |             | DEFINED           | 02        |
| AIR PRODS & CHEMS INC        |                   | 009158106 | 1,735          | 000000022509      | SH        |             | DEFINED           | 02        |
| AIRTRAN HLDGS INC            |                   | 00949P108 | 3,290          | 000000526424      | SH        |             | DEFINED           | 02        |
| ALCOA INC                    |                   | 013817101 | 16,249         | 000001257700      | SH        |             | DEFINED           | 01        |
| ALLEGHENY TECHNOLOGIES INC   |                   | 01741R102 | 788            | 000000022530      | SH        |             | DEFINED           | 02        |
| ALLIS CHALMERS ENERGY INC    |                   | 019645506 | 84             | 000000019400      | SH        |             | DEFINED           | 01        |
| ALTERA CORP                  |                   | 021441100 | 460            | 000000022541      | SH        |             | DEFINED           | 02        |
| AMAZON COM INC               |                   | 023135106 | 26,821         | 000000291615      | SH        |             | DEFINED           | 02        |
| AMERICAN EAGLE OUTFITTERS NE |                   | 02553E106 | 4,916          | 000000291619      | SH        |             | DEFINED           | 02        |
| AMERICAN EXPRESS CO          |                   | 025816109 | 761            | 000000022570      | SH        |             | DEFINED           | 02        |
| AMERICAN INTL GROUP INC      |                   | 026874784 | 995            | 000000022577      | SH        |             | DEFINED           | 02        |
| AMERICAN TOWER CORP          |                   | 029912201 | 11,308         | 000000311992      | SH        |             | DEFINED           | 02        |
| AMERICREDIT CORP             |                   | 03060R101 | 240            | 000000016000      | SH        |             | DEFINED           | 01        |
| AMGEN INC                    |                   | 031162100 | 4,122          | 000000069878      | SH        |             | DEFINED           | 01        |
| ANALOG DEVICES INC           |                   | 032654105 | 621            | 000000022591      | SH        |             | DEFINED           | 02        |
| APACHE CORP                  |                   | 037411105 | 2,073          | 000000022600      | SH        |             | DEFINED           | 02        |
| APOLLO GROUP INC             |                   | 037604105 | 23,470         | 000000323769      | SH        |             | DEFINED           | 02        |
| APPLIED MATLS INC            |                   | 038222105 | 157            | 000000012200      | SH        |             | DEFINED           | 01        |
| AQUA AMERICA INC             |                   | 03836W103 | 5,741          | 000000335469      | SH        |             | DEFINED           | 02        |
| ARCELORMITTAL SA LUXEMBOURG  |                   | 03938L104 | 1,673          | 000000047850      | SH        |             | DEFINED           | 01        |
| ARKANSAS BEST CORP DEL       |                   | 040790107 | 12,050         | 000000402484      | SH        |             | DEFINED           | 02        |
| ARMSTRONG WORLD INDS INC NEW |                   | 04247X102 | 837            | 000000024305      | SH        |             | DEFINED           | 01        |
| ASSET ACCEP CAP CORP         |                   | 04543P100 | 4,284          | 000000590937      | SH        |             | DEFINED           | 02        |
| AUTOZONE INC                 |                   | 053332102 | 3,283          | 000000022656      | SH        |             | DEFINED           | 02        |
| AVALONBAY CMNTYS INC         |                   | 053484101 | 1,641          | 000000022658      | SH        |             | DEFINED           | 02        |
| AVON PRODS INC               |                   | 054303102 | 754            | 000000022664      | SH        |             | DEFINED           | 02        |
| BB&T CORP                    |                   | 054937107 | 662            | 000000024119      | SH        |             | DEFINED           | 02        |

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|                              |           |       |              |    |         |    |
|------------------------------|-----------|-------|--------------|----|---------|----|
| BAKER HUGHES INC             | 057224107 | 962   | 000000022670 | SH | DEFINED | 02 |
| BANK OF AMERICA CORPORATION  | 060505104 | 347   | 000000020500 | SH | DEFINED | 01 |
| BANK OF AMERICA CORPORATION  | 060505104 | 5,160 | 000000306370 | SH | DEFINED | 02 |
| BANK OF NEW YORK MELLON CORP | 064058100 | 7,753 | 000000277900 | SH | DEFINED | 01 |
| BANK OF NEW YORK MELLON CORP | 064058100 | 656   | 000000022733 | SH | DEFINED | 02 |
| BARNES & NOBLE INC           | 067774109 | 5,480 | 000000246652 | SH | DEFINED | 02 |
| BAXTER INTL INC              | 071813109 | 8,651 | 000000155300 | SH | DEFINED | 01 |
| BED BATH & BEYOND INC        | 075896100 | 840   | 000000022703 | SH | DEFINED | 02 |

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| NAME OF ISSUER               | TITLE OF CLASS | CUSIP     | VALUE X1000 | SHARES PRN AMT | SH PRN | PUT CALL | INVTMT DSCRETN | OT MAN |
|------------------------------|----------------|-----------|-------------|----------------|--------|----------|----------------|--------|
| OBEST BUY INC                |                | 086516101 | 852         | 000000022716   | SH     |          | DEFINED        | 02     |
| BLACKROCK INC                |                | 09247X101 | 105,228     | 000000485328   | SH     |          | DEFINED        | 02     |
| BOEING CO                    |                | 097023105 | 1,222       | 000000022743   | SH     |          | DEFINED        | 02     |
| BOSTON PROPERTIES INC        |                | 101121101 | 21,839      | 000000334425   | SH     |          | DEFINED        | 02     |
| BOSTON SCIENTIFIC CORP       |                | 101137107 | 236         | 000000022750   | SH     |          | DEFINED        | 02     |
| BOYD GAMING CORP             |                | 103304101 | 3,662       | 000000335053   | SH     |          | DEFINED        | 02     |
| BRINKER INTL INC             |                | 109641100 | 358         | 000000022762   | SH     |          | DEFINED        | 02     |
| BRINKS CO                    |                | 109696104 | 643         | 000000023903   | SH     |          | DEFINED        | 02     |
| BRISTOL MYERS SQUIBB CO      |                | 110122108 | 513         | 000000022763   | SH     |          | DEFINED        | 02     |
| BROADCOM CORP                |                | 111320107 | 10,138      | 000000334426   | SH     |          | DEFINED        | 02     |
| BURLINGTON NORTHN SANTA FE C |                | 12189T104 | 1,809       | 000000022782   | SH     |          | DEFINED        | 02     |
| CF INDS HLDGS INC            |                | 125269100 | 75,413      | 000000874564   | SH     |          | DEFINED        | 02     |
| CME GROUP INC                |                | 12572Q105 | 164,801     | 000000534741   | SH     |          | DEFINED        | 02     |
| CSX CORP                     |                | 126408103 | 963         | 000000022986   | SH     |          | DEFINED        | 02     |
| CA INC                       |                | 12673P105 | 504         | 000000022930   | SH     |          | DEFINED        | 02     |
| CABLEVISION SYS CORP         |                | 12686C109 | 6,050       | 000000256830   | SH     |          | DEFINED        | 02     |
| CALPINE CORP                 |                | 131347304 | 246         | 000000022300   | SH     |          | DEFINED        | 01     |
| CAMERON INTERNATIONAL CORP   |                | 13342B105 | 12,648      | 000000334428   | SH     |          | DEFINED        | 02     |
| CANADIAN NAT RES LTD         |                | 136385101 | 40,631      | 000000604724   | SH     |          | DEFINED        | 02     |
| CAPITAL ONE FINL CORP        |                | 14040H105 | 744         | 000000022128   | SH     |          | DEFINED        | 01     |
| CAPITAL ONE FINL CORP        |                | 14040H105 | 804         | 000000022812   | SH     |          | DEFINED        | 02     |
| CARNIVAL CORP                |                | 143658300 | 74          | 000000022813   | SH     |          | DEFINED        | 02     |
| CATERPILLAR INC DEL          |                | 149123101 | 1,168       | 000000022827   | SH     |          | DEFINED        | 02     |
| CHESAPEAKE ENERGY CORP       |                | 165167107 | 7,298       | 000000258822   | SH     |          | DEFINED        | 02     |
| CHEVRON CORP NEW             |                | 166764100 | 1,605       | 000000022865   | SH     |          | DEFINED        | 02     |
| CHINA MED TECHNOLOGIES INC   |                | 169483104 | 11,923      | 000000735131   | SH     |          | DEFINED        | 02     |
| CHIQUITA BRANDS INTL INC     |                | 170032809 | 562         | 000000035400   | SH     |          | DEFINED        | 01     |
| CHUBB CORP                   |                | 171232101 | 1,154       | 000000022876   | SH     |          | DEFINED        | 02     |
| CISCO SYS INC                |                | 17275R102 | 235         | 000000010200   | SH     |          | DEFINED        | 01     |
| CISCO SYS INC                |                | 17275R102 | 535         | 000000022890   | SH     |          | DEFINED        | 02     |
| CITIGROUP INC                |                | 172967101 | 53          | 000000011800   | SH     |          | DEFINED        | 01     |
| CITIGROUP INC                |                | 172967101 | 1,414       | 000000306550   | SH     |          | DEFINED        | 02     |
| CITRIX SYS INC               |                | 177376100 | 11,222      | 000000291691   | SH     |          | DEFINED        | 02     |
| COACH INC                    |                | 189754104 | 14,498      | 000000444274   | SH     |          | DEFINED        | 02     |
| COCA COLA CO                 |                | 191216100 | 1,216       | 000000022908   | SH     |          | DEFINED        | 02     |
| COGNIZANT TECHNOLOGY SOLUTIO |                | 192446102 | 17,432      | 000000454915   | SH     |          | DEFINED        | 02     |
| COLGATE PALMOLIVE CO         |                | 194162103 | 1,749       | 000000022914   | SH     |          | DEFINED        | 02     |
| COMMERCIAL METALS CO         |                | 201723103 | 6,007       | 000000335139   | SH     |          | DEFINED        | 02     |
| CONOCOPHILLIPS               |                | 20825C104 | 300         | 000000006600   | SH     |          | DEFINED        | 01     |
| CONOCOPHILLIPS               |                | 20825C104 | 1,073       | 000000023891   | SH     |          | DEFINED        | 02     |
| CONSOL ENERGY INC            |                | 20854P109 | 19,385      | 000000435390   | SH     |          | DEFINED        | 02     |
| CONTINENTAL AIRLS INC        |                | 210795308 | 4,729       | 000000313600   | SH     |          | DEFINED        | 01     |
| CONTINENTAL AIRLS INC        |                | 210795308 | 377         | 000000022938   | SH     |          | DEFINED        | 02     |
| CORNING INC                  |                | 219350105 | 350         | 000000022962   | SH     |          | DEFINED        | 02     |
| COSTCO WHSL CORP NEW         |                | 22160K105 | 19,767      | 000000351773   | SH     |          | DEFINED        | 02     |
| CUMMINS INC                  |                | 231021106 | 1,012       | 000000022989   | SH     |          | DEFINED        | 02     |

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| NAME OF ISSUER               | TITLE OF CLASS | CUSIP     | VALUE X1000 | SHARES PRN AMT | SH PRN CALL | PUT | INVTMT DCRETN | OT MAN |
|------------------------------|----------------|-----------|-------------|----------------|-------------|-----|---------------|--------|
| OD R HORTON INC              |                | 23331A109 | 3,584       | 000000335182   | SH          |     | DEFINED       | 02     |
| DANA HOLDING CORP            |                | 235825205 | 3,880       | 000000569794   | SH          |     | DEFINED       | 01     |
| DANA HOLDING CORP            |                | 235825205 | 366         | 000000053796   | SH          |     | DEFINED       | 01     |
| DANAHER CORP DEL             |                | 235851102 | 1,534       | 000000022998   | SH          |     | DEFINED       | 02     |
| DARDEN RESTAURANTS INC       |                | 237194105 | 755         | 000000022999   | SH          |     | DEFINED       | 02     |
| DEERE & CO                   |                | 244199105 | 978         | 000000023009   | SH          |     | DEFINED       | 02     |
| DELL INC                     |                | 24702R101 | 1,100       | 000000072700   | SH          |     | DEFINED       | 01     |
| DELL INC                     |                | 24702R101 | 349         | 000000023011   | SH          |     | DEFINED       | 02     |
| DELTA AIR LINES INC DEL      |                | 247361702 | 43          | 000000004851   | SH          |     | DEFINED       | 01     |
| DELTA AIR LINES INC DEL      |                | 247361702 | 533         | 000000059562   | SH          |     | DEFINED       | 01     |
| DELTA AIR LINES INC DEL      |                | 247361702 | 8,655       | 000001063372   | SH          |     | DEFINED       | 01     |
| DIRECTV GROUP INC            |                | 25459L106 | 16,097      | 000000583650   | SH          |     | DEFINED       | 02     |
| DONNELLEY R R & SONS CO      |                | 257867101 | 769         | 000000037100   | SH          |     | DEFINED       | 01     |
| DOW CHEM CO                  |                | 260543103 | 254         | 000000010400   | SH          |     | DEFINED       | 01     |
| DUKE REALTY CORP             |                | 264411505 | 157         | 000000013800   | SH          |     | DEFINED       | 01     |
| E M C CORP MASS              |                | 268648102 | 391         | 000000023092   | SH          |     | DEFINED       | 02     |
| ENSCO INTL INC               |                | 26874Q100 | 979         | 000000023101   | SH          |     | DEFINED       | 02     |
| EBAY INC                     |                | 278642103 | 8,120       | 000000349635   | SH          |     | DEFINED       | 02     |
| EMERSON ELEC CO              |                | 291011104 | 917         | 000000023093   | SH          |     | DEFINED       | 02     |
| ENCANA CORP                  |                | 292505104 | 32,462      | 000000563492   | SH          |     | DEFINED       | 02     |
| EQUITY RESIDENTIAL           |                | 29476L107 | 1,728       | 000000056555   | SH          |     | DEFINED       | 02     |
| EXELON CORP                  |                | 30161N101 | 782         | 000000016147   | SH          |     | DEFINED       | 01     |
| EXELON CORP                  |                | 30161N101 | 1,176       | 000000023863   | SH          |     | DEFINED       | 02     |
| EXPEDITORS INTL WASH INC     |                | 302130109 | 11,665      | 000000335205   | SH          |     | DEFINED       | 02     |
| EXXON MOBIL CORP             |                | 30231G102 | 225         | 000000003350   | SH          |     | DEFINED       | 01     |
| EXXON MOBIL CORP             |                | 30231G102 | 24,390      | 000000355619   | SH          |     | DEFINED       | 02     |
| FTI CONSULTING INC           |                | 302941109 | 421         | 000000009900   | SH          |     | DEFINED       | 01     |
| FEDERAL MOGUL CORP           |                | 313549404 | 992         | 000000082190   | SH          |     | DEFINED       | 01     |
| FEDERAL REALTY INVT TR       |                | 313747206 | 1,414       | 000000023140   | SH          |     | DEFINED       | 02     |
| FIFTH THIRD BANCORP          |                | 316773100 | 246         | 000000026100   | SH          |     | DEFINED       | 01     |
| FIFTH THIRD BANCORP          |                | 316773100 | 230         | 000000023149   | SH          |     | DEFINED       | 02     |
| FIRST SOLAR INC              |                | 336433107 | 133,492     | 000000869714   | SH          |     | DEFINED       | 02     |
| FLUOR CORP NEW               |                | 343412102 | 20,661      | 000000410480   | SH          |     | DEFINED       | 02     |
| FORD MTR CO DEL              |                | 345370860 | 170         | 000000023182   | SH          |     | DEFINED       | 02     |
| FRANKLIN RES INC             |                | 354613101 | 201         | 000000002077   | SH          |     | DEFINED       | 01     |
| FREEPORT-MCMORAN COPPER & GO |                | 35671D782 | 3,777       | 000000036675   | SH          |     | DEFINED       | 01     |
| FREEPORT-MCMORAN COPPER & GO |                | 35671D782 | 4,895       | 000000047525   | SH          |     | DEFINED       | 01     |
| GAP INC DEL                  |                | 364760108 | 492         | 000000023215   | SH          |     | DEFINED       | 02     |
| GAYLORD ENTMT CO NEW         |                | 367905106 | 227         | 000000012600   | SH          |     | DEFINED       | 01     |
| GEORGIA GULF CORP            |                | 373200302 | 4,187       | 000000139579   | SH          |     | DEFINED       | 01     |
| GEORGIA GULF CORP            |                | 373200302 | 555         | 000000018529   | SH          |     | DEFINED       | 01     |
| GOLDMAN SACHS GROUP INC      |                | 38141G104 | 6,774       | 000000037850   | SH          |     | DEFINED       | 01     |
| GOLDMAN SACHS GROUP INC      |                | 38141G104 | 63,315      | 000000344705   | SH          |     | DEFINED       | 02     |
| GRACE W R & CO DEL NEW       |                | 38388F108 | 263         | 000000012121   | SH          |     | DEFINED       | 01     |
| GREENHILL & CO INC           |                | 395259104 | 54,523      | 000000608653   | SH          |     | DEFINED       | 02     |
| GROUP 1 AUTOMOTIVE INC       |                | 398905109 | 232         | 000000008650   | SH          |     | DEFINED       | 01     |
| HCP INC                      |                | 40414L109 | 1,596       | 000000055891   | SH          |     | DEFINED       | 02     |
| HALLIBURTON CO               |                | 406216101 | 625         | 000000023295   | SH          |     | DEFINED       | 02     |
| HARTFORD FINL SVCS GROUP INC |                | 416515104 | 631         | 000000023445   | SH          |     | DEFINED       | 02     |

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|------------------------------|----------------|-----------|-------------|----------------|--------|----------|----------------|--------|
| OHATTERAS FINL CORP          |                | 41902R103 | 29,328      | 000000978273   | SH     |          | DEFINED        | 02     |
| HEALTH CARE REIT INC         |                | 42217K106 | 10,317      | 000000246734   | SH     |          | DEFINED        | 02     |
| HECLA MNG CO                 |                | 422704106 | 101         | 000000023325   | SH     |          | DEFINED        | 02     |
| HEWLETT PACKARD CO           |                | 428236103 | 1,091       | 000000023334   | SH     |          | DEFINED        | 02     |
| HOME DEPOT INC               |                | 437076102 | 616         | 000000023347   | SH     |          | DEFINED        | 02     |
| HONEYWELL INTL INC           |                | 438516106 | 13,343      | 000000364831   | SH     |          | DEFINED        | 02     |
| HORNBECK OFFSHORE SVCS INC N |                | 440543106 | 302         | 000000010988   | SH     |          | DEFINED        | 01     |
| HOST HOTELS & RESORTS INC    |                | 44107P104 | 271         | 000000023599   | SH     |          | DEFINED        | 02     |
| HUDSON CITY BANCORP          |                | 443683107 | 6,876       | 000000526735   | SH     |          | DEFINED        | 02     |
| HUNT J B TRANS SVCS INC      |                | 445658107 | 740         | 000000023366   | SH     |          | DEFINED        | 02     |
| ITT EDUCATIONAL SERVICES INC |                | 45068B109 | 563         | 000000005200   | SH     |          | DEFINED        | 01     |
| IDENIX PHARMACEUTICALS INC   |                | 45166R204 | 1,904       | 000000622399   | SH     |          | DEFINED        | 02     |
| ILLINOIS TOOL WKS INC        |                | 452308109 | 994         | 000000023380   | SH     |          | DEFINED        | 02     |
| INNOPHOS HOLDINGS INC        |                | 45774N108 | 224         | 000000012140   | SH     |          | DEFINED        | 01     |
| INTEL CORP                   |                | 458140100 | 455         | 000000023412   | SH     |          | DEFINED        | 02     |
| INTERCONTINENTALEXCHANGE INC |                | 45865V100 | 74,170      | 000000763152   | SH     |          | DEFINED        | 02     |
| INTUITIVE SURGICAL INC       |                | 46120E602 | 115,737     | 000000453267   | SH     |          | DEFINED        | 02     |
| INTUIT                       |                | 461202103 | 8,038       | 000000287744   | SH     |          | DEFINED        | 02     |
| ISHARES COMEX GOLD TR        |                | 464285105 | 75,498      | 000000763153   | SH     |          | DEFINED        | 02     |
| ISHARES INC                  |                | 464286400 | 39,882      | 000000589629   | SH     |          | DEFINED        | 02     |
| SHARES INC                   |                | 464286673 | 7,058       | 000000656566   | SH     |          | DEFINED        | 02     |
| ISHARES INC                  |                | 464286772 | 21,543      | 000000454698   | SH     |          | DEFINED        | 02     |
| ISHARES INC                  |                | 464286848 | 4,849       | 000000488107   | SH     |          | DEFINED        | 02     |
| ISHARES INC                  |                | 464286871 | 6,111       | 000000393783   | SH     |          | DEFINED        | 02     |
| ISHARES TR INDEX             |                | 464287101 | 29,438      | 000000600060   | SH     |          | DEFINED        | 02     |
| ISHARES TR INDEX             |                | 464287184 | 26,315      | 000000643086   | SH     |          | DEFINED        | 02     |
| ISHARES TR INDEX             |                | 464287234 | 23,297      | 000000598758   | SH     |          | DEFINED        | 02     |
| ISHARES TR INDEX             |                | 464287465 | 32,062      | 000000586362   | SH     |          | DEFINED        | 02     |
| ISHARES TR INDEX             |                | 464287473 | 23,080      | 000000651625   | SH     |          | DEFINED        | 02     |
| ISHARES TR INDEX             |                | 464287598 | 34,250      | 000000617230   | SH     |          | DEFINED        | 02     |
| ISHARES TR INDEX             |                | 464287622 | 35,061      | 000000603463   | SH     |          | DEFINED        | 02     |
| ISHARES TR INDEX             |                | 464287655 | 33,946      | 000000563518   | SH     |          | DEFINED        | 02     |
| ISHARES TR INDEX             |                | 464287721 | 31,019      | 000000597105   | SH     |          | DEFINED        | 02     |
| ISHARES TR INDEX             |                | 464287739 | 25,019      | 000000586344   | SH     |          | DEFINED        | 02     |
| ISHARES TR INDEX             |                | 464287838 | 34,610      | 000000631571   | SH     |          | DEFINED        | 02     |
| JDS UNIPHASE CORP            |                | 46612J507 | 2,076       | 000000292119   | SH     |          | DEFINED        | 02     |
| JPMORGAN CHASE & CO          |                | 46625H100 | 14,113      | 000000341157   | SH     |          | DEFINED        | 01     |
| JPMORGAN CHASE & CO          |                | 46625H100 | 407         | 000000009300   | SH     |          | DEFINED        | 01     |
| JPMORGAN CHASE & CO          |                | 46625H100 | 1,007       | 000000022862   | SH     |          | DEFINED        | 02     |
| JACOBS ENGR GROUP INC DEL    |                | 469814107 | 1,064       | 000000023449   | SH     |          | DEFINED        | 02     |
| JETBLUE AIRWAYS CORP         |                | 477143101 | 227         | 000000041600   | SH     |          | DEFINED        | 01     |
| JETBLUE AIRWAYS CORP         |                | 477143101 | 2,944       | 000000492322   | SH     |          | DEFINED        | 02     |
| JOHNSON CTLS INC             |                | 478366107 | 595         | 000000023460   | SH     |          | DEFINED        | 02     |
| JONES APPAREL GROUP INC      |                | 480074103 | 420         | 000000023462   | SH     |          | DEFINED        | 02     |
| JOS A BANK CLOTHIERS INC     |                | 480838101 | 23,583      | 000000526770   | SH     |          | DEFINED        | 02     |
| JUNIPER NETWORKS INC         |                | 48203R104 | 9,746       | 000000362392   | SH     |          | DEFINED        | 02     |

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|-------------------|----------------|-----------|-------------|----------------|--------|----------|----------------|--------|
| OKB HOME          |                | 48666K109 | 389         | 000000023471   | SH     |          | DEFINED        | 02     |
| KELLOGG CO        |                | 487836108 | 1,155       | 000000023473   | SH     |          | DEFINED        | 02     |
| KIMCO REALTY CORP |                | 49446R109 | 4,304       | 000000334625   | SH     |          | DEFINED        | 02     |
| KRAFT FOODS INC   |                | 50075N104 | 2,832       | 000000109000   | SH     |          | DEFINED        | 01     |
| KRAFT FOODS INC   |                | 50075N104 | 11,234      | 000000435882   | SH     |          | DEFINED        | 02     |

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|                             |           |        |              |    |         |    |
|-----------------------------|-----------|--------|--------------|----|---------|----|
| LAS VEGAS SANDS CORP        | 517834107 | 10,898 | 000000655126 | SH | DEFINED | 02 |
| LAYNE CHRISTENSEN CO        | 521050104 | 1,917  | 000000059818 | SH | DEFINED | 02 |
| LEAP WIRELESS INTL INC      | 521863308 | 766    | 000000044000 | SH | DEFINED | 01 |
| LINCOLN ELEC HLDGS INC      | 533900106 | 21,514 | 000000453405 | SH | DEFINED | 02 |
| LINCOLN NATL CORP IND       | 534187109 | 602    | 000000023542 | SH | DEFINED | 02 |
| LINEAR TECHNOLOGY CORP      | 535678106 | 649    | 000000023544 | SH | DEFINED | 02 |
| LOCKHEED MARTIN CORP        | 539830109 | 1,840  | 000000023551 | SH | DEFINED | 02 |
| LOEWS CORP                  | 540424108 | 804    | 000000023553 | SH | DEFINED | 02 |
| MACYS INC                   | 55616P104 | 412    | 000000023137 | SH | DEFINED | 02 |
| MARKET VECTORS ETF TR       | 57060U100 | 4,607  | 000000107000 | SH | DEFINED | 01 |
| MARSH & MCLENNAN COS INC    | 571748102 | 583    | 000000023600 | SH | DEFINED | 02 |
| MARRIOTT INTL INC NEW       | 571903202 | 7,628  | 000000280411 | SH | DEFINED | 02 |
| MARTIN MARIETTA MATLS INC   | 573284106 | 2,255  | 000000024496 | SH | DEFINED | 02 |
| MASSEY ENERGY CORP          | 576206106 | 646    | 000000023173 | SH | DEFINED | 02 |
| MASTERCARD INC              | 57636Q104 | 10,357 | 000000051940 | SH | DEFINED | 01 |
| MCDONALDS CORP              | 580135101 | 1,333  | 000000023622 | SH | DEFINED | 02 |
| MEDCO HEALTH SOLUTIONS INC  | 58405U102 | 291    | 000000005400 | SH | DEFINED | 01 |
| MEDTRONIC INC               | 585055106 | 446    | 000000012148 | SH | DEFINED | 01 |
| MERCK & CO INC              | 589331107 | 740    | 000000023650 | SH | DEFINED | 02 |
| METLIFE INC                 | 59156R108 | 14,837 | 000000389480 | SH | DEFINED | 02 |
| MICROSOFT CORP              | 594918104 | 603    | 000000023669 | SH | DEFINED | 02 |
| MICROCHIP TECHNOLOGY INC    | 595017104 | 7,661  | 000000291925 | SH | DEFINED | 02 |
| MIDCAP SPDR TR              | 595635103 | 71,719 | 000000563520 | SH | DEFINED | 02 |
| MINDRAY MEDICAL INTL LTD    | 602675100 | 27,007 | 000000827429 | SH | DEFINED | 02 |
| MIRANT CORP NEW             | 60467R100 | 677    | 000000042800 | SH | DEFINED | 01 |
| MONSANTO CO NEW             | 61166W101 | 36,240 | 000000468586 | SH | DEFINED | 02 |
| MORGAN STANLEY              | 617446448 | 708    | 000000023007 | SH | DEFINED | 02 |
| MOSAIC CO                   | 61945A107 | 6,189  | 000000133300 | SH | DEFINED | 01 |
| MOTOROLA INC                | 620076109 | 197    | 000000023704 | SH | DEFINED | 02 |
| MURPHY OIL CORP             | 626717102 | 1,365  | 000000023707 | SH | DEFINED | 02 |
| NII HLDGS INC               | 62913F201 | 242    | 000000008400 | SH | DEFINED | 01 |
| NRG ENERGY INC              | 629377508 | 7,709  | 000000286694 | SH | DEFINED | 01 |
| NRG ENERGY INC              | 629377508 | 497    | 000000017650 | SH | DEFINED | 01 |
| NYSE EURONEXT               | 629491101 | 1,457  | 000000052500 | SH | DEFINED | 01 |
| NYSE EURONEXT               | 629491101 | 22,430 | 000000784013 | SH | DEFINED | 02 |
| NATIONAL INSTRS CORP        | 636518102 | 9,267  | 000000335417 | SH | DEFINED | 02 |
| NATIONAL SEMICONDUCTOR CORP | 637640103 | 4,569  | 000000341500 | SH | DEFINED | 01 |
| NETAPP INC                  | 64110D104 | 8,846  | 000000335423 | SH | DEFINED | 02 |
| NEWMONT MINING CORP         | 651639106 | 1,038  | 000000023750 | SH | DEFINED | 02 |
| NEWS CORP                   | 65248E104 | 7,537  | 000000637403 | SH | DEFINED | 02 |
| NIKE INC                    | 654106103 | 1,532  | 000000023762 | SH | DEFINED | 02 |

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|-----------------------------|----------------|-----------|-------------|----------------|-----------------|----------------|--------|
| ONORDSTROM INC              |                | 655664100 | 725         | 000000023772   | SH              | DEFINED        | 02     |
| NORFOLK SOUTHERN CORP       |                | 655844108 | 1,027       | 000000023776   | SH              | DEFINED        | 02     |
| NORTHERN TR CORP            |                | 665859104 | 1,382       | 000000023777   | SH              | DEFINED        | 02     |
| NORTHROP GRUMMAN CORP       |                | 666807102 | 1,229       | 000000023780   | SH              | DEFINED        | 02     |
| OCCIDENTAL PETE CORP DEL    |                | 674599105 | 1,849       | 000000023797   | SH              | DEFINED        | 02     |
| OLD DOMINION FGHT LINES INC |                | 679580100 | 16,033      | 000000526910   | SH              | DEFINED        | 02     |
| ONYX PHARMACEUTICALS INC    |                | 683399109 | 8,965       | 000000299133   | SH              | DEFINED        | 02     |
| ORACLE CORP                 |                | 68389X105 | 495         | 000000023817   | SH              | DEFINED        | 02     |
| PDL BIOPHARMA INC           |                | 69329Y104 | 466         | 000000059208   | SH              | DEFINED        | 02     |
| P F CHANGS CHINA BISTRO INC |                | 69333Y108 | 14,465      | 000000425846   | SH              | DEFINED        | 02     |
| PNC FINL SVCS GROUP INC     |                | 693475105 | 1,131       | 000000023910   | SH              | DEFINED        | 02     |
| PACCAR INC                  |                | 693718108 | 884         | 000000023834   | SH              | DEFINED        | 02     |
| PARKER HANNIFIN CORP        |                | 701094104 | 240         | 000000004800   | SH              | DEFINED        | 01     |

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|                              |           |         |              |    |         |    |
|------------------------------|-----------|---------|--------------|----|---------|----|
| PATRIOT COAL CORP            | 70336T104 | 10,851  | 000000922749 | SH | DEFINED | 02 |
| PAYCHEX INC                  | 704326107 | 682     | 000000023859 | SH | DEFINED | 02 |
| PEABODY ENERGY CORP          | 704549104 | 17,408  | 000000468667 | SH | DEFINED | 02 |
| PFIZER INC                   | 717081103 | 3,710   | 000000227500 | SH | DEFINED | 01 |
| PHILIP MORRIS INTL INC       | 718172109 | 46,616  | 000000970479 | SH | DEFINED | 02 |
| PLUM CREEK TIMBER CO INC     | 729251108 | 7,460   | 000000244837 | SH | DEFINED | 02 |
| POTASH CORP SASK INC         | 73755L107 | 4,018   | 000000046500 | SH | DEFINED | 01 |
| POTASH CORP SASK INC         | 73755L107 | 22,385  | 000000246796 | SH | DEFINED | 02 |
| POWERSHARES QQQ TRUST        | 73935A104 | 73,709  | 000001797800 | SH | DEFINED | 01 |
| PRECISION CASTPARTS CORP     | 740189105 | 2,402   | 000000023923 | SH | DEFINED | 02 |
| PRICE T ROWE GROUP INC       | 74144T108 | 1,086   | 000000023929 | SH | DEFINED | 02 |
| PRINCIPAL FINANCIAL GROUP IN | 74251V102 | 12,154  | 000000446693 | SH | DEFINED | 02 |
| PROCTER & GAMBLE CO          | 742718109 | 1,383   | 000000023931 | SH | DEFINED | 02 |
| PROGRESSIVE CORP OHIO        | 743315103 | 395     | 000000023933 | SH | DEFINED | 02 |
| PROLOGIS                     | 743410102 | 3,709   | 000000311212 | SH | DEFINED | 02 |
| PROTECTIVE LIFE CORP         | 743674103 | 394     | 000000020000 | SH | DEFINED | 01 |
| PRUDENTIAL FINL INC          | 744320102 | 1,470   | 000000031116 | SH | DEFINED | 01 |
| PRUDENTIAL FINL INC          | 744320102 | 22,667  | 000000455116 | SH | DEFINED | 02 |
| PUBLIC STORAGE               | 74460D109 | 4,473   | 000000059621 | SH | DEFINED | 02 |
| PULTE HOMES INC              | 745867101 | 445     | 000000023893 | SH | DEFINED | 02 |
| RANGE RES CORP               | 75281A109 | 12,383  | 000000250493 | SH | DEFINED | 02 |
| REALNETWORKS INC             | 75605L104 | 950     | 000000255633 | SH | DEFINED | 02 |
| RESEARCH IN MOTION LTD       | 760975102 | 25,650  | 000000375999 | SH | DEFINED | 02 |
| RETAIL HOLDRS TR             | 76127U101 | 7,845   | 000000090150 | SH | DEFINED | 01 |
| RETAIL HOLDRS TR             | 76127U101 | 2,192   | 000000534818 | SH | DEFINED | 02 |
| REYNOLDS AMERICAN INC        | 761713106 | 222     | 000000005000 | SH | DEFINED | 01 |
| ROWAN COS INC                | 779382100 | 553     | 000000024005 | SH | DEFINED | 02 |
| ROYAL DUTCH SHELL PLC        | 780259107 | 351     | 000000006440 | SH | DEFINED | 01 |
| SLM CORP                     | 78442P106 | 1,318   | 000000159600 | SH | DEFINED | 01 |
| SPDR TR                      | 78462F103 | 565,027 | 000005485700 | SH | DEFINED | 01 |
| SPDR TR                      | 78462F103 | 31,739  | 000000300591 | SH | DEFINED | 02 |
| SPDR GOLD TRUST              | 78463V107 | 31,941  | 000000326299 | SH | DEFINED | 01 |
| SPDR SERIES TRUST            | 78464A714 | 27,617  | 000000809199 | SH | DEFINED | 02 |

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|--------------------------|----------------|-----------|-------------|----------------|-----------------|----------------|--------|
| 0SPDR SERIES TRUST       |                | 78464A755 | 36,932      | 000000809204   | SH              | DEFINED        | 02     |
| ST JUDE MED INC          |                | 790849103 | 942         | 000000024153   | SH              | DEFINED        | 02     |
| SANDERSON FARMS INC      |                | 800013104 | 10,992      | 000000292044   | SH              | DEFINED        | 02     |
| SCHEIN HENRY INC         |                | 806407102 | 18,205      | 000000335281   | SH              | DEFINED        | 02     |
| SCHLUMBERGER LTD         |                | 806857108 | 1,437       | 000000024039   | SH              | DEFINED        | 02     |
| SCHWAB CHARLES CORP NEW  |                | 808513105 | 457         | 000000024042   | SH              | DEFINED        | 02     |
| SCOTTS MIRACLE GRO CO    |                | 810186106 | 394         | 000000009190   | SH              | DEFINED        | 01     |
| SEARS HLDGS CORP         |                | 812350106 | 35,744      | 000000554228   | SH              | DEFINED        | 02     |
| SELECT SECTOR SPDR TR    |                | 81369Y100 | 16,262      | 000000525610   | SH              | DEFINED        | 02     |
| SELECT SECTOR SPDR TR    |                | 81369Y209 | 16,327      | 000000569487   | SH              | DEFINED        | 02     |
| SELECT SECTOR SPDR TR    |                | 81369Y308 | 15,024      | 000000590123   | SH              | DEFINED        | 02     |
| SELECT SECTOR SPDR TR    |                | 81369Y407 | 15,643      | 000000569488   | SH              | DEFINED        | 02     |
| SEMICONDUCTOR HLDRS TR   |                | 816636203 | 1,402       | 000000057000   | SH              | DEFINED        | 01     |
| SIMON PPTY GROUP INC NEW |                | 828806109 | 1,661       | 000000024091   | SH              | DEFINED        | 02     |
| SKECHERS U S A INC       |                | 830566105 | 8,034       | 000000468775   | SH              | DEFINED        | 02     |
| SOLUTIA INC              |                | 834376501 | 153         | 000000013222   | SH              | DEFINED        | 01     |
| SOLUTIA INC              |                | 834376501 | 1,937       | 000000167289   | SH              | DEFINED        | 01     |
| SOUTHWEST AIRLS CO       |                | 844741108 | 232         | 000000025900   | SH              | DEFINED        | 01     |
| SPRINT NEXTEL CORP       |                | 852061100 | 95          | 000000024132   | SH              | DEFINED        | 02     |
| STAPLES INC              |                | 855030102 | 595         | 000000026263   | SH              | DEFINED        | 01     |
| STAPLES INC              |                | 855030102 | 555         | 000000024139   | SH              | DEFINED        | 02     |



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|------------------------------|-----------|--------|--------------|----|---------|----|
| STARWOOD HOTELS&RESORTS WRLD | 85590A401 | 9,036  | 000000280330 | SH | DEFINED | 02 |
| STATE STR CORP               | 857477103 | 1,260  | 000000024141 | SH | DEFINED | 02 |
| SUNCOR ENERGY INC NEW        | 867224107 | 1,779  | 000000054000 | SH | DEFINED | 01 |
| SUNTRUST BKS INC             | 867914103 | 540    | 000000024172 | SH | DEFINED | 02 |
| SYMANTEC CORP                | 871503108 | 389    | 000000024182 | SH | DEFINED | 02 |
| ARGACEPT INC                 | 87611R306 | 17,109 | 000000796143 | SH | DEFINED | 02 |
| TARGET CORP                  | 87612E106 | 5,800  | 000000124550 | SH | DEFINED | 01 |
| TARGET CORP                  | 87612E106 | 17,332 | 000000371827 | SH | DEFINED | 02 |
| TEREX CORP NEW               | 880779103 | 247    | 000000012700 | SH | DEFINED | 01 |
| TEXAS INSTRS INC             | 882508104 | 577    | 000000024229 | SH | DEFINED | 02 |
| THERAVANCE INC               | 88338T104 | 9,506  | 000000649373 | SH | DEFINED | 02 |
| THERMO FISHER SCIENTIFIC INC | 883556102 | 1,047  | 000000024239 | SH | DEFINED | 02 |
| TIFFANY & CO NEW             | 886547108 | 934    | 000000024246 | SH | DEFINED | 02 |
| TIME WARNER INC              | 887317303 | 643    | 000000022558 | SH | DEFINED | 02 |
| TRAVELERS COMPANIES INC      | 89417E109 | 1,169  | 000000024158 | SH | DEFINED | 02 |
| TYSON FOODS INC              | 902494103 | 1,804  | 000000146500 | SH | DEFINED | 01 |
| TYSON FOODS INC              | 902494103 | 302    | 000000024296 | SH | DEFINED | 02 |
| US BANCORP DEL               | 902973304 | 1,317  | 000000062433 | SH | DEFINED | 01 |
| US BANCORP DEL               | 902973304 | 6,773  | 000000312937 | SH | DEFINED | 02 |
| ULTRA PETROLEUM CORP         | 903914109 | 25,808 | 000000527137 | SH | DEFINED | 02 |
| UNDER ARMOUR INC             | 904311107 | 21,314 | 000000765886 | SH | DEFINED | 02 |
| UNION PAC CORP               | 907818108 | 1,416  | 000000024312 | SH | DEFINED | 02 |
| UNITED STATES STL CORP NEW   | 912909108 | 401    | 000000009500 | SH | DEFINED | 01 |
| UNITED THERAPEUTICS CORP DEL | 91307C102 | 1,265  | 000000026400 | SH | DEFINED | 01 |
| UNITEDHEALTH GROUP INC       | 91324P102 | 612    | 000000024306 | SH | DEFINED | 02 |
| VCA ANTECH INC               | 918194101 | 12,559 | 000000522457 | SH | DEFINED | 02 |

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|----------------------------|----------------|-----------|-------------|----------------|-----------------|----------------|--------|
| OVENTAS INC                |                | 92276F100 | 935         | 000000024362   | SH              | DEFINED        | 02     |
| VERIZON COMMUNICATIONS INC |                | 92343V104 | 681         | 000000022704   | SH              | DEFINED        | 02     |
| VISA INC                   |                | 92826C839 | 94,321      | 000001364600   | SH              | DEFINED        | 01     |
| VORNADO RLTY TR            |                | 929042109 | 11,312      | 000000334653   | SH              | DEFINED        | 02     |
| WAL MART STORES INC        |                | 931142103 | 1,191       | 000000024388   | SH              | DEFINED        | 02     |
| WALGREEN CO                |                | 931422109 | 913         | 000000024386   | SH              | DEFINED        | 02     |
| WALTER INVT MGMT CORP      |                | 93317W102 | 606         | 000000038600   | SH              | DEFINED        | 01     |
| WELLPOINT INC              |                | 94973V107 | 21,210      | 000000447240   | SH              | DEFINED        | 02     |
| WELLS FARGO & CO NEW       |                | 949746101 | 668         | 000000023782   | SH              | DEFINED        | 02     |
| WORTHINGTON INDS INC       |                | 981811102 | 339         | 000000024442   | SH              | DEFINED        | 02     |
| WYNN RESORTS LTD           |                | 983134107 | 1,260       | 000000019220   | SH              | DEFINED        | 01     |
| WYNN RESORTS LTD           |                | 983134107 | 37,642      | 000000534852   | SH              | DEFINED        | 02     |
| XTO ENERGY INC             |                | 98385X106 | 13,737      | 000000335153   | SH              | DEFINED        | 02     |
| XILINX INC                 |                | 983919101 | 571         | 000000024450   | SH              | DEFINED        | 02     |
| XEROX CORP                 |                | 984121103 | 391         | 000000052305   | SH              | DEFINED        | 01     |
| XEROX CORP                 |                | 984121103 | 190         | 000000024449   | SH              | DEFINED        | 02     |
| YAHOO INC                  |                | 984332106 | 591         | 000000034000   | SH              | DEFINED        | 01     |
| YAHOO INC                  |                | 984332106 | 4,488       | 000000256859   | SH              | DEFINED        | 02     |
| YUM BRANDS INC             |                | 988498101 | 8,220       | 000000249152   | SH              | DEFINED        | 02     |
| ZORAN CORP                 |                | 98975F101 | 2           | 000000000200   | SH              | DEFINED        | 01     |