### Edgar Filing: NOMURA SECURITIES INTERNATIONAL INC - Form 4/A

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF

#### NOMURA SECURITIES INTERNATIONAL INC

Form 4/A

December 07, 2018

FORM 4	UNITED STATES SECURITIES AND EXCHANGE COMMISSION Workington, D.C. 20540
Check this box	Washington, D.C. 20549

**OMB APPROVAL** 

**OMB** 3235-0287 Number:

January 31, Expires: 2005 Estimated average

burden hours per response... 0.5

if no longer subject to Section 16.

**SECURITIES** Form 4 or Form 5 obligations

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934, Section 17(a) of the Public Utility Holding Company Act of 1935 or Section may continue. 30(h) of the Investment Company Act of 1940 See Instruction

1(b).

(Print or Type Responses)

1. Name and Address of Reporting Person \* 5. Relationship of Reporting Person(s) to 2. Issuer Name and Ticker or Trading NOMURA SECURITIES Issuer Symbol INTERNATIONAL INC DITECH HOLDING Corp [DHCP] (Check all applicable) (First) (Middle) (Last) 3. Date of Earliest Transaction (Month/Day/Year) Director \_X\_\_ 10% Owner \_X\_ Other (specify Officer (give title WORLDWIDE PLAZA, 309 WEST 12/03/2018 below) below) 49TH STREET See Remarks (1) (Street) 4. If Amendment, Date Original 6. Individual or Joint/Group Filing(Check Filed(Month/Day/Year) Applicable Line) Form filed by One Reporting Person 12/06/2018 X\_ Form filed by More than One Reporting NEW YORK, NY 10019 Person

(City) (State) (Zip) Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned 1.Title of 2. Transaction Date 2A. Deemed 3. 4. Securities Acquired (A) 5. Amount of 7. Nature of Security (Month/Day/Year) Execution Date, if Transaction Disposed of (D) Securities Ownership Indirect (Instr. 3) Code (Instr. 3, 4 and 5) Beneficially Form: Beneficial (Month/Day/Year) (Instr. 8) Owned Direct (D) Ownership Following or Indirect (Instr. 4) Reported (A) Transaction(s) (Instr. 4) or (Instr. 3 and 4) Code V Amount (D) Price Common Stock, par 206,700 12/04/2018 S D  $D^{(1)}$ value 870,532 (2) \$0.01 per share

Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly.

Persons who respond to the collection of SEC 1474 information contained in this form are not (9-02)required to respond unless the form displays a currently valid OMB control number.

### Edgar Filing: NOMURA SECURITIES INTERNATIONAL INC - Form 4/A

# Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)

9. Nu Deriv Secur Bene Own Follo Repo Trans (Instr

1. Title of	2.	3. Transaction Date	3A. Deemed	4.	5.	6. Date Exerc	isable and	7. Title	e and	8. Price of	9
Derivative	Conversion	(Month/Day/Year)	Execution Date, if	Transactio	onNumber	Expiration Da	ate	Amou	nt of	Derivative	J
Security	or Exercise		any	Code	of	(Month/Day/	Year)	Under	lying	Security	,
(Instr. 3)	Price of		(Month/Day/Year)	(Instr. 8)	Derivative	e		Securi	ties	(Instr. 5)	]
	Derivative				Securities			(Instr.	3 and 4)		(
	Security				Acquired						J
	-				(A) or						J
					Disposed						7
					of (D)						(
					(Instr. 3,						
					4, and 5)						
									Amount		
						Date	Expiration		or		
					Exercisable Date		Number				
									of		
				Code V	(A) (D)				Shares		

Relationshin

## **Reporting Owners**

Reporting Owner Name / Address	Relationships				
reporting owner runner reduces	Director	10% Owner	Officer	Other	
NOMURA SECURITIES INTERNATIONAL INC WORLDWIDE PLAZA 309 WEST 49TH STREET NEW YORK, NY 10019		X		See Remarks (1)	
NOMURA HOLDINGS INC 9-1 NIHONBASHI 1-CHOME CHUO-KU TOKYO, M0 103-8645		X			

## **Signatures**

Nomura Securities International, Inc. /s/ Jonathan Raiff Jonathan Raiff Senior Managing  Director				
**Signature of Reporting Person	Date			
Nomura Holdings, Inc. /s/ Kentaro Okuda Kentaro Okuda Senior Managing Director				
**Signature of Reporting Person	Date			

## **Explanation of Responses:**

- \* If the form is filed by more than one reporting person, see Instruction 4(b)(v).
- \*\* Intentional misstatements or omissions of facts constitute Federal Criminal Violations. See 18 U.S.C. 1001 and 15 U.S.C. 78ff(a).
- (1) These shares of Common Stock are owned by Nomura Securities International, Inc. ("NSI"). NSI is a wholly owned indirect subsidiary of Nomura Holdings, Inc. which accordingly may be deemed to beneficially own the shares owned by NSI.
- (2) The Reporting Person's original Form 4 incorrectly reported a larger amount of shares of Common Stock being sold on December 4, 2014 than was actually sold.

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, *see* Instruction 6 for procedure. Potential persons who are to respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB number.

Reporting Owners 2