

Edgar Filing: Small Cap Premium & Dividend Income Fund, Inc. - Form NSAR-B

Small Cap Premium & Dividend Income Fund, Inc.
Form NSAR-B
March 01, 2010

PAGE 1
000 B000000 12/31/2009
000 C000000 0001322979
000 D000000 N
000 E000000 NF
000 F000000 Y
000 G000000 N
000 H000000 N
000 I000000 6.1
000 J000000 A
001 A000000 SMALL CAP PREMIUM & DIVIDEND INCOME FUND INC.
001 B000000 811-21746
001 C000000 8774494742
002 A000000 4 WORLD FINANCIAL CENTER, 6TH FLOOR
002 B000000 NEW YORK
002 C000000 NY
002 D010000 10080
003 000000 N
004 000000 N
005 000000 N
006 000000 N
007 A000000 N
007 B000000 0
007 C010100 1
007 C010200 2
007 C010300 3
007 C010400 4
007 C010500 5
007 C010600 6
007 C010700 7
007 C010800 8
007 C010900 9
007 C011000 10
008 A000001 IQ INVESTMENT ADVISORS LLC
008 B000001 A
008 C000001 801-63151
008 D010001 NEW YORK
008 D020001 NY
008 D030001 10080
008 A000002 BLACKROCK INVESTMENT MANAGEMENT, LLC
008 B000002 S
008 C000002 801-56972
008 D010002 PLAINSBORO
008 D020002 NJ
008 D030002 08536
010 A000001 PRINCETON ADMINISTRATORS, LLC
010 C010001 PRINCETON
010 C020001 NJ
010 C030001 08543
010 C040001 9095
012 A000001 BNY MELLON SHAREOWNER SERVICES
012 B000001 85-05006
PAGE 2
012 C010001 JERSEY CITY
012 C020001 NJ
012 C030001 07310
013 A000001 PRICEWATERHOUSECOOPERS LLC
013 B010001 NEW YORK
013 B020001 NY

Edgar Filing: Small Cap Premium & Dividend Income Fund, Inc. - Form NSAR-B

013 B030001 10017
014 A000001 BB & T AM DISTRIBUTORS, INC.
014 B000001 8-52396
014 A000002 BLACKROCK CAPITAL MARKETS, LLC
014 B000002 8-67827
014 A000003 BLACKROCK DISTRIBUTORS, INC.
014 B000003 8-048775
014 A000004 BLACKROCK INVESTMENTS, LLC
014 B000004 8-048436
014 A000005 HARRIS WILLIAMS LLC
014 B000005 8-53380
014 A000006 MGI FUNDS DISTRIBUTOR, INC.
014 B000006 8-046960
014 A000007 NATCITY INVESTMENTS, INC.
014 B000007 8-35288
014 A000008 NORTHERN FUNDS DISTRIBUTORS, LLC
014 B000008 8-051242
014 A000009 PNC CAPITAL MARKETS, INC.
014 B000009 8-32493
014 A000010 PNC INVESTMENTS LLC
014 B000010 8-066195
014 A000011 PFPC DISTRIBUTORS, INC.
014 B000011 8-045467
014 A000012 RED CAPITAL MARKETS, INC.
014 B000012 8-31175
014 A000013 BA AUSTRLIA LIMITED
014 B000013 8-0
014 A000014 DELETE
014 A000015 BOA SECURITIES (INDIA) PRIVATE LIMITED
014 B000015 8-0
014 A000016 BANC OF AMERICA ASIA LIMITED
014 B000016 8-0
014 A000017 DELETE
014 A000018 BANC OF AMERICA SECURITIES LIMITED
014 B000018 8-0
014 A000019 BANC OF AMERICA SECURITIES LLC
014 B000019 8-42263
014 A000020 BOA SECURITIES, CASA DE BOLSA, S.A. DE C.V.,
014 B000020 8-0
014 A000021 BANC OF AMERICA SPECIALIST, INC.
014 B000021 8-52439
014 A000022 BANK OF AMERICA SINGAPORE LIMITED
014 B000022 8-0
014 A000023 BOSTON SECURITIES S.A. SOCIEDAD DE BOLSA
014 B000023 8-0
PAGE 3
014 A000024 COLUMBIA MANAGMENT DISTRIBUTORS, INC.
014 B000024 8-44998
014 A000025 COLUMBIA MANAGEMENT PTE. LTD.
014 B000025 8-0
014 A000026 BERNDALE SECURITIES LIMITED
014 B000026 8-0
014 A000027 DSP MERRILL LYNCH LIMITED
014 B000027 8-0
014 A000028 FIRST REPUBLIC SECURITIES COMPANY, LLC
014 B000028 8-52973
014 A000029 GPC SECURITIES, INC.
014 B000029 8-30108
014 A000030 MERRILL LYNCH (ASIA PACIFIC) LIMITED
014 B000030 8-0
014 A000031 MERRILL LYNCH (AUSTRALIA) FUTURES LIMITED
014 B000031 8-0

Edgar Filing: Small Cap Premium & Dividend Income Fund, Inc. - Form NSAR-B

014 A000032 MERRILL LYNCH (SINGAPORE) PTE LTD.
014 B000032 8-0
014 A000033 MERRILL LYNCH ARGENTINA S.A.
014 B000033 8-0
014 A000034 MERRILL LYNCH CANADA INC.
014 B000034 8-0
014 A000035 MERRILL LYNCH CAPITAL MARKETS AG
014 B000035 8-0
014 A000036 ML CAPITAL MARKETS ESPANA, S.A., S.V.
014 B000036 8-0
014 A000037 MERRILL LYNCH CORREDORES DE BOLSA S.A.
014 B000037 8-0
014 A000038 MERRILL LYNCH EQUITIES (AUSTRALIA) LIMITED
014 B000038 8-0
014 A000039 ML ESPANOLA AGENCIA DE VALORES S.A.
014 B000039 8-0
014 A000040 MERRILL LYNCH FAR EAST LIMITED
014 B000040 8-0
014 A000041 MERRILL LYNCH FINANCIAL MARKETS, INC.
014 B000041 8-66447
014 A000042 MERRILL LYNCH FUTURES (HONG KONG) LIMITED
014 B000042 8-0
014 A000043 MERRILL LYNCH FUTURES ASIA LIMITED
014 B000043 8-0
014 A000044 MERRILL LYNCH GOVERNMENT SECURITIES INC.
014 B000044 8-38051
014 A000045 MERRILL LYNCH INTERNATIONAL
014 B000045 8-0
014 A000046 MERRILL LYNCH JAPAN SECURITIES CO., LTD.
014 B000046 8-0
014 A000047 MERRILL LYNCH MENKUL DEGERLER A.S.
014 B000047 8-0
014 A000048 ML MEXICO, S.A. DE C.V., CASA DE BOLSA
014 B000048 8-0
014 A000049 MERRILL LYNCH PROFESSIONAL CLEARING CORP.
PAGE 4
014 B000049 8-33359
014 A000050 ML S.A. CORRETORA DE TITUTOS E VALORES MOBIL.
014 B000050 8-0
014 A000051 MERRILL LYNCH SECURITIES (TAIWAN) LTD.
014 B000051 8-0
014 A000052 ML SOUTH AFRICA (PROPRIETARY) LIMITED
014 B000052 8-0
014 A000053 MERRILL LYNCH VALORES S.A. SOCIEDAD DE BOLSA
014 B000053 8-0
014 A000054 MERRILL LYNCH, PIERCE, FENNER & SMITH INC.
014 B000054 8-7221
014 A000055 NUVEEN INVESTMENTS, LLC
014 B000055 8-13464
014 A000056 OOO MERRILL LYNCH SECURITIES
014 B000056 8-0
014 A000057 PT MERRILL LYNCH INDONESIA
014 B000057 8-0
014 A000058 THE MUNICENTER, L.L.C.
014 B000058 8-52951
014 A000059 BLACKROCK EXECUTION SERVICES
014 B000059 8-48719
014 A000060 BLACKROCK FUND DISTRIBUTION COMPANY
014 B000060 8-67795
015 A000001 STATE STREET BANK AND TRUST COMPANY
015 B000001 C
015 C010001 BOSTON

Edgar Filing: Small Cap Premium & Dividend Income Fund, Inc. - Form NSAR-B

015 C020001 MA
015 C030001 02101
015 E010001 X
015 A000002 THE BANK OF NEW YORK MELLON
015 B000002 S
015 C010002 NEW YORK
015 C020002 NY
015 C030002 10286
015 E010002 X
015 A000003 J.P. MORGAN CHASE BANK
015 B000003 S
015 C010003 NEW YORK
015 C020003 NY
015 C030003 10017
015 E010003 X
018 000000 Y
019 A000000 Y
019 B000000 8
019 C000000 IQINVADVIS
020 A000001 UBS SECURITIES LLC
020 B000001 13-3873456
020 C000001 13
020 A000002 MORGAN STANLEY & CO. INCORPORATED
020 B000002 13-2655998
020 C000002 12
PAGE 5
020 A000003 WEEDEN & CO. L.P.
020 B000003 13-3664318
020 C000003 11
020 A000004 INSTINET, LLC
020 C000004 9
020 A000005 CITIGROUP GLOBAL MARKETS, INC.
020 B000005 11-2418191
020 C000005 8
020 A000006 MERRILL LYNCH, PIERCE, FENNER & SMITH INC.
020 B000006 13-5674085
020 C000006 6
020 A000007 GOLDMAN, SACHS & CO.
020 B000007 13-5108880
020 C000007 4
020 A000008 BARCLAYS CAPITAL INC.
020 C000008 3
020 A000009 CREDIT SUISSE SECURITIES (USA) L.L.C.
020 B000009 13-5659485
020 C000009 2
020 A000010 BLOOMBERG TRADEBOOK LLC
020 C000010 1
021 000000 72
022 A000001 STATE STREET GLOBAL MARKETS, LLC
022 C000001 2133925
022 D000001 0
022 A000002 BROWN BROTHERS HARRIMAN & CO.
022 B000002 13-4973745
022 C000002 338445
022 D000002 0
022 A000003 MORGAN STANLEY & CO. INCORPORATED
022 B000003 13-2655998
022 C000003 12244
022 D000003 16280
022 A000004 DEUTSCHE BANK SECURITIES INC.
022 B000004 13-2730828
022 C000004 1890

Edgar Filing: Small Cap Premium & Dividend Income Fund, Inc. - Form NSAR-B

022 D000004 2160
 022 A000005 CREDIT SUSISE SECURITES (USA) L.L.C.
 022 B000005 13-5659485
 022 C000005 1371
 022 D000005 1609
 022 A000006 CITIGROUP GLOBAL MARKETS, INC.
 022 B000006 11-2418191
 022 C000006 629
 022 D000006 630
 022 A000007 NYC POLICE PENSION FUND
 022 B000007 13-6357165
 022 C000007 515
 022 D000007 438
 022 A000008 GOLDMAN, SACHS & CO.
 022 B000008 13-5108880
 PAGE 6
 022 C000008 450
 022 D000008 447
 022 A000009 NEW YORK CITY TEACHERS' RETIREMENT SYSTEM
 022 C000009 255
 022 D000009 398
 022 A000010 NEW YORK CITY FIRE OFFICERS' VAR. SUPP. FUND
 022 C000010 617
 022 D000010 29
 023 C000000 2492766
 023 D000000 22895
 024 000000 Y
 025 A000001 STATE STREET BANK & TRUST CO.
 025 C000001 D
 025 D000001 12264
 025 D000002 0
 025 D000003 0
 025 D000004 0
 025 D000005 0
 025 D000006 0
 025 D000007 0
 025 D000008 0
 026 A000000 N
 026 B000000 N
 026 C000000 N
 026 D000000 Y
 026 E000000 N
 026 F000000 N
 026 G010000 N
 026 G020000 N
 026 H000000 N
 027 000000 N
 045 000000 Y
 046 000000 N
 047 000000 Y
 048 000000 0.900
 048 A010000 0
 048 A020000 0.000
 048 B010000 0
 048 B020000 0.000
 048 C010000 0
 048 C020000 0.000
 048 D010000 0
 048 D020000 0.000
 048 E010000 0
 048 E020000 0.000
 048 F010000 0

Edgar Filing: Small Cap Premium & Dividend Income Fund, Inc. - Form NSAR-B

048 F020000 0.000
048 G010000 0
048 G020000 0.000
048 H010000 0
048 H020000 0.000
PAGE 7
048 I010000 0
048 I020000 0.000
048 J010000 0
048 J020000 0.000
048 K010000 0
048 K020000 0.000
049 000000 N
050 000000 N
051 000000 N
052 000000 N
053 A000000 Y
053 B000000 Y
053 C000000 N
054 A000000 Y
054 B000000 Y
054 C000000 N
054 D000000 N
054 E000000 N
054 F000000 N
054 G000000 N
054 H000000 Y
054 I000000 N
054 J000000 Y
054 K000000 N
054 L000000 N
054 M000000 Y
054 N000000 N
055 A000000 Y
055 B000000 N
056 000000 Y
057 000000 N
058 A000000 N
059 000000 Y
060 A000000 Y
060 B000000 Y
061 000000 0
062 A000000 N
062 B000000 0.0
062 C000000 0.0
062 D000000 0.0
062 E000000 0.0
062 F000000 0.0
062 G000000 0.0
062 H000000 0.0
062 I000000 0.0
062 J000000 0.0
062 K000000 0.0
062 L000000 0.0
062 M000000 0.0
062 N000000 0.0
062 O000000 0.0
PAGE 8
062 P000000 0.0
062 Q000000 0.0
062 R000000 0.0
066 A000000 Y

Edgar Filing: Small Cap Premium & Dividend Income Fund, Inc. - Form NSAR-B

066	B000000	N	
066	C000000	N	
066	D000000	N	
066	E000000	N	
066	F000000	Y	
066	G000000	N	
067	0000000	N	
068	A000000	N	
068	B000000	N	
069	0000000	N	
070	A010000	Y	
070	A020000	N	
070	B010000	Y	
070	B020000	N	
070	C010000	N	
070	C020000	N	
070	D010000	Y	
070	D020000	N	
070	E010000	Y	
070	E020000	N	
070	F010000	Y	
070	F020000	Y	
070	G010000	Y	
070	G020000	N	
070	H010000	Y	
070	H020000	Y	
070	I010000	N	
070	I020000	N	
070	J010000	Y	
070	J020000	N	
070	K010000	Y	
070	K020000	Y	
070	L010000	Y	
070	L020000	Y	
070	M010000	N	
070	M020000	N	
070	N010000	Y	
070	N020000	N	
070	O010000	Y	
070	O020000	N	
070	P010000	Y	
070	P020000	Y	
070	Q010000	N	
070	Q020000	N	
070	R010000	Y	
070	R020000	N	
071	A000000		21498
	PAGE	9	
071	B000000		51380
071	C000000		120591
071	D000000	18	
072	A000000	12	
072	B000000		1
072	C000000		1541
072	D000000		0
072	E000000		0
072	F000000		1157
072	G000000		0
072	H000000		0
072	I000000		45
072	J000000		38
072	K000000		0

Edgar Filing: Small Cap Premium & Dividend Income Fund, Inc. - Form NSAR-B

072 L000000	32
072 M000000	62
072 N000000	0
072 O000000	0
072 P000000	0
072 Q000000	56
072 R000000	46
072 S000000	46
072 T000000	0
072 U000000	0
072 V000000	0
072 W000000	99
072 X000000	1581
072 Y000000	27
072 Z000000	-12
072AA000000	27242
072BB000000	45119
072CC010000	48303
072CC020000	0
072DD010000	26934
072DD020000	0
072EE000000	0
073 A010000	0.0000
073 A020000	0.0000
073 B000000	0.0000
073 C000000	2.0000
074 A000000	0
074 B000000	0
074 C000000	12265
074 D000000	0
074 E000000	0
074 F000000	123369
074 G000000	0
074 H000000	0
074 I000000	218
074 J000000	0
074 K000000	0
PAGE 10	
074 L000000	153
074 M000000	17
074 N000000	136022
074 O000000	0
074 P000000	105
074 Q000000	0
074 R010000	0
074 R020000	0
074 R030000	2510
074 R040000	187
074 S000000	0
074 T000000	133220
074 U010000	13580
074 U020000	0
074 V010000	9.81
074 V020000	0.00
074 W000000	0.0000
074 X000000	12970
074 Y000000	0
075 A000000	0
075 B000000	128575
076 000000	10.16
077 A000000	Y
077 B000000	Y

Edgar Filing: Small Cap Premium & Dividend Income Fund, Inc. - Form NSAR-B

078 000000 N
080 A000000 ICI MUTUAL INSURANCE COMPANY
080 C000000 525
081 A000000 Y
081 B000000 10
082 A000000 N
082 B000000 0
083 A000000 N
083 B000000 0
084 A000000 N
084 B000000 0
085 A000000 Y
085 B000000 N
086 A010000 142
086 A020000 1641
086 B010000 0
086 B020000 290
086 C010000 0
086 C020000 0
086 D010000 0
086 D020000 0
086 E010000 0
086 E020000 0
086 F010000 0
086 F020000 0
087 A010000 COMMON STOCK
087 A020000 83165P101
PAGE 11
087 A030000 RCC
088 A000000 N
088 B000000 N
088 C000000 N
088 D000000 N
SIGNATURE JAMES E.HILLMAN
TITLE TREASURER