

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

Small Cap Premium & Dividend Income Fund, Inc.
Form NSAR-A
August 28, 2009

PAGE 1
000 A000000 06/30/2009
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 2 WORLD FINANCIAL CENTER, 7TH FLOOR
002 B000000 NEW YORK
002 C000000 NY
002 D010000 10281
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-A

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 BANC OF AMERICA INVESTMENT SERVICES, INC.
014 B000014 8-33805
014 A000015 BOA SECURITIES (INDIA) PRIVATE LIMITED
014 B000015 8-0
014 A000016 BANC OF AMERICA ASIA LIMITED
014 B000016 8-0
014 A000017 BANC OF AMERICA SECURITIES CANADA CO.
014 B000017 8-0
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
PAGE 3
014 A000023 BOSTON SECURITIES S.A. SOCIEDAD DE BOLSA
014 B000023 8-0
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

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

014 A000031 MERRILL LYNCH (AUSTRALIA) FUTURES LIMITED
014 B000031 8-0
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
PAGE 4
014 B000048 8-0
014 A000049 MERRILL LYNCH PROFESSIONAL CLEARING CORP.
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
015 A000001 STATE STREET BANK AND TRUST COMPANY
015 B000001 C
015 C010001 BOSTON
015 C020001 MA
015 C030001 02101

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

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 10
019 C000000 IQINVADVIS
020 A000001 MORGAN STANLEY & CO. INCORPORATED
020 B000001 13-2655998
020 C000001 12
020 A000002 INSTINET, LLC
020 C000002 9
020 A000003 CITIGROUP GLOBAL MARKETS, INC.
020 B000003 11-2418191
020 C000003 7
PAGE 5
020 A000004 MERRILL LYNCH, PIERCE, FENNER & SMITH INC.
020 B000004 13-5674085
020 C000004 4
020 A000005 UBS SECURITIES LLC
020 B000005 13-3873456
020 C000005 4
020 A000006 GOLDMAN, SACHS & CO.
020 B000006 13-5108880
020 C000006 4
020 A000007 BARCLAYS CAPITAL INC.
020 C000007 3
020 A000008 BLOOMBERG TRADEBOOK LLC
020 C000008 1
020 A000009 WEEDEN & CO. L.P.
020 B000009 13-3664318
020 C000009 0
020 A000010 CREDIT SUISSE SECURITIES (USA) L.L.C.
020 B000010 13-5659485
020 C000010 0
021 000000 44
022 A000001 STATE STREET GLOBAL MARKETS, LLC
022 C000001 1081618
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 11383
022 D000003 12194
022 A000004 DEUTSCHE BANK SECURITIES INC.
022 B000004 13-2730828
022 C000004 625
022 D000004 666
022 A000005 CITIGROUP GLOBAL MARKETS INC.

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

022 B000005 11-2418191
 022 C000005 629
 022 D000005 630
 022 A000006 FEDERATED MINI-CAP INDEX FUND
 022 C000006 723
 022 D000006 0
 022 A000007 NYC FIRE OFFICERS VARIABLE SUPPLEMENTS FUND
 022 C000007 585
 022 D000007 50
 022 A000008 NYC POLICE PENSION FUND
 022 B000008 13-6357165
 022 C000008 198
 022 D000008 327
 022 A000009 NYC EMPLOYEES' RETIREMENT SYSTEM
 022 C000009 323

PAGE 6

022 D000009 122
 022 A000010 NEW YORK CITY TEACHERS' RETIREMENT SYSTEM
 022 C000010 350
 022 D000010 114
 023 C000000 1436443
 023 D000000 15164
 024 000000 N
 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
 048 F020000 0.000
 048 G010000 0
 048 G020000 0.000
 048 H010000 0
 048 H020000 0.000
 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

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

052 000000 N
053 A000000 N
054 A000000 Y
054 B000000 Y
054 C000000 N
PAGE 7
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
062 P000000 0.0
062 Q000000 0.0
062 R000000 0.0
066 A000000 Y
066 B000000 N
066 C000000 N
066 D000000 N
066 E000000 N
066 F000000 Y
066 G000000 N
067 000000 N
068 A000000 N
068 B000000 N
069 000000 N
070 A010000 Y
070 A020000 N
PAGE 8
070 B010000 Y
070 B020000 N
070 C010000 N
070 C020000 N

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

070	D010000	Y	
070	D020000	Y	
070	E010000	Y	
070	E020000	N	
070	F010000	Y	
070	F020000	Y	
070	G010000	Y	
070	G020000	N	
070	H010000	Y	
070	H020000	N	
070	I010000	N	
070	I020000	N	
070	J010000	Y	
070	J020000	N	
070	K010000	Y	
070	K020000	N	
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		17467
071	B000000		27131
071	C000000		114027
071	D000000	15	
072	A000000	6	
072	B000000		1
072	C000000		580
072	D000000		0
072	E000000		0
072	F000000		544
072	G000000		0
072	H000000		0
072	I000000		20
072	J000000		8
072	K000000		0
072	L000000		21
072	M000000		30
	PAGE	9	
072	N000000		0
072	O000000		0
072	P000000		0
072	Q000000		26
072	R000000		22
072	S000000		20
072	T000000		0
072	U000000		0
072	V000000		0
072	W000000		49
072	X000000		740
072	Y000000		0
072	Z000000		-159
072AA	0000000		17155

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

072BB000000	28150
072CC010000	17931
072CC020000	0
072DD010000	13438
072DD020000	0
072EE000000	0
073 A010000	0.9933
073 A020000	0.0000
073 B000000	0.0000
073 C000000	0.0000
074 A000000	0
074 B000000	0
074 C000000	7586
074 D000000	0
074 E000000	0
074 F000000	117032
074 G000000	0
074 H000000	0
074 I000000	184
074 J000000	13887
074 K000000	0
074 L000000	126
074 M000000	1
074 N000000	138816
074 O000000	15110
074 P000000	96
074 Q000000	0
074 R010000	0
074 R020000	0
074 R030000	976
074 R040000	86
074 S000000	0
074 T000000	122548
074 U010000	13528
074 U020000	0
074 V010000	9.06
074 V020000	0.00
PAGE 10	
074 W000000	0.0000
074 X000000	12916
074 Y000000	62600
075 A000000	0
075 B000000	121940
076 000000	9.29
077 A000000	Y
077 C000000	Y
077 K000000	Y
077 Q010000	Y
078 000000	N
086 A010000	91
086 A020000	820
086 B010000	0
086 B020000	0
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

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

087 A020000 83165P101

087 A030000 RCC

088 A000000 N

088 B000000 N

088 C000000 N

088 D000000 N

SIGNATURE JAMES E.HILLMAN

TITLE TREASURER