

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 BERNDALD 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 | 000000  | N  |        |
| 068 | A000000 | N  |        |
| 068 | B000000 | N  |        |
| 069 | 000000  | 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