

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

Small Cap Premium & Dividend Income Fund, Inc.
Form NSAR-A
August 30, 2010

PAGE 1
000 A000000 06/30/2010
000 C000000 0001322979
000 D000000 N
000 E000000 NF
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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 Y
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 PLAINSBORO
010 C020001 NJ
010 C030001 08536
012 A000001 BNY MELLON SHAREOWNER SERVICES
012 B000001 85-05006
012 C010001 JERSEY CITY
PAGE 2
012 C020001 NJ
012 C030001 07310
013 A000001 PRICEWATERHOUSECOOPERS LLP
013 B010001 NEW YORK
013 B020001 NY
013 B030001 10017

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014 A000001 BB & T AM DISTRIBUTORS, INC.
014 B000001 8-52396
014 A000002 BLACKROCK CAPITAL MARKETS, LLC
014 B000002 8-67827
014 A000003 BLACKROCK EXECUTION SERVICES
014 B000003 8-48719
014 A000004 BLACKROCK FUND DISTRIBUTION COMPANY
014 B000004 8-67795
014 A000005 BLACKROCK INVESTMENTS, LLC
014 B000005 8-48436
014 A000006 FAIRHOLME DISTRIBUTORS, INC.
014 B000006 8-68327
014 A000007 HARRIS WILLIAMS LLC
014 B000007 8-53380
014 A000008 HIGHMARK FUNDS DISTRIBUTORS, INC.
014 B000008 8-67903
014 A000009 MGI FUNDS DISTRIBUTOR, INC.
014 B000009 8-46960
014 A000010 PFPC DISTRIBUTORS, INC.
014 B000010 8-45467
014 A000011 PNC CAPITAL MARKETS, INC.
014 B000011 8-32493
014 A000012 PNC INVESTMENTS LLC
014 B000012 8-66195
014 A000013 RED CAPITAL MARKETS, INC.
014 B000013 8-31175
014 A000014 BA AUSTRALIA LIMITED
014 B000014 8-0
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 LIMITED
014 B000017 8-0
014 A000018 BANC OF AMERICA SECURITIES LLC
014 B000018 8-42263
014 A000019 BOA SECURITIES, CASA DE BOLSA, S.A. DE C.V.
014 B000019 8-0
014 A000020 BANC OF AMERICA SPECIALIST, INC.
014 B000020 8-52439
014 A000021 BANK OF AMERICA SINGAPORE LIMITED
014 B000021 8-0
014 A000022 BOSTON SECURITIES S.A. SOCIEDAD DE BOLSA
014 B000022 8-0
014 A000023 DELETE
PAGE 3
014 A000024 DELETE
014 A000025 BERNDALE SECURITIES LIMITED
014 B000025 8-0
014 A000026 DSP MERRILL LYNCH LIMITED
014 B000026 8-0
014 A000027 DELETE
014 A000028 GPC SECURITIES, INC.
014 B000028 8-30108
014 A000029 MERRILL LYNCH (ASIA PACIFIC) LIMITED
014 B000029 8-0
014 A000030 MERRILL LYNCH (AUSTRALIA) FUTURES LIMITED
014 B000030 8-0
014 A000031 MERRILL LYNCH (SINGAPORE) PTE LTD.
014 B000031 8-0
014 A000032 MERRILL LYNCH ARGENTINA S.A.
014 B000032 8-0

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014 A000033 MERRILL LYNCH CANADA INC.
014 B000033 8-0
014 A000034 MERRILL LYNCH CAPITAL MARKETS AG
014 B000034 8-0
014 A000035 ML CAPITAL MARKETS ESPANA, S.A., S.V.
014 B000035 8-0
014 A000036 MERRILL LYNCH CORREDORES DE BOLSA S.A.
014 B000036 8-0
014 A000037 MERRILL LYNCH EQUITIES (AUSTRALIA) LIMITED
014 B000037 8-0
014 A000038 ML ESPANOLA AGENCIA DE VALORES S.A.
014 B000038 8-0
014 A000039 MERRILL LYNCH FAR EAST LIMITED
014 B000039 8-0
014 A000040 MERRILL LYNCH FINANCIAL MARKETS, INC.
014 B000040 8-66447
014 A000041 MERRILL LYNCH FUTURES (HONG KONG) LIMITED
014 B000041 8-0
014 A000042 DELETE
014 A000043 MERRILL LYNCH GOVERNMENT SECURITIES INC.
014 B000043 8-38051
014 A000044 MERRILL LYNCH INTERNATIONAL
014 B000044 8-0
014 A000045 MERRILL LYNCH JAPAN SECURITIES CO., LTD.
014 B000045 8-0
014 A000046 MERRILL LYNCH MENKUL DEGERLER A.S.
014 B000046 8-0
014 A000047 ML MEXICO, S.A. DE C.V., CASA DE BOLSA
014 B000047 8-0
014 A000048 MERRILL LYNCH PROFESSIONAL CLEARING CORP.
014 B000048 8-33359
014 A000049 ML S.A. CORRETORA DE TITUTOS E VALORES MOBIL.
014 B000049 8-0
014 A000050 MERRILL LYNCH SECURITIES (TAIWAN) LTD.
014 B000050 8-0
PAGE 4
014 A000051 ML SOUTH AFRICA (PROPRIETARY) LIMITED
014 B000051 8-0
014 A000052 MERRILL LYNCH VALORES S.A. SOCIEDAD DE BOLSA
014 B000052 8-0
014 A000053 MERRILL LYNCH, PIERCE, FENNER & SMITH INC.
014 B000053 8-7221
014 A000054 NUVEEN INVESTMENTS, LLC
014 B000054 8-13464
014 A000055 OOO MERRILL LYNCH SECURITIES
014 B000055 8-0
014 A000056 PT MERRILL LYNCH INDONESIA
014 B000056 8-0
014 A000057 THE MUNICENTER, L.L.C.
014 B000057 8-52951
014 A000058 B OF A DISTRIBUTORS, INC.
014 B000058 8-44998
014 A000059 DELETE
015 A000001 STATE STREET BANK AND TRUST COMPANY
015 B000001 C
015 C010001 BOSTON
015 C020001 MA
015 C030001 02101
015 E010001 X
015 A000002 THE BANK OF NEW YORK MELLON
015 B000002 S
015 C010002 NEW YORK

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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 5
019 C000000 IQINVADVIS
020 A000001 NOMURA SECURITIES INTERNATIONAL, INC.
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020 A000002 UBS SECURITIES LLC
020 B000002 13-3873456
020 C000002 4
020 A000003 MORGAN STANLEY & CO. INCORPORATED
020 B000003 13-2655998
020 C000003 3
020 A000004 GOLDMAN, SACHS & CO.
020 B000004 13-5108880
020 C000004 3
PAGE 5
020 A000005 CREDIT SUISSE SECURITIES (USA) L.L.C.
020 B000005 13-5659485
020 C000005 2
020 A000006 MERRILL LYNCH, PIERCE, FENNER & SMITH INC.
020 B000006 13-5674085
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020 A000007 THINKORSWIM, INC.
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020 A000008 CITIGROUP GLOBAL MARKETS, INC.
020 B000008 11-2418191
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020 A000009 DEUTSCHE BANK SECURITIES INC.
020 B000009 13-2730828
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020 A000010 BLOOMBERG TRADEBOOK LLC
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022 A000001 STATE STREET GLOBAL MARKETS, LLC
022 C000001 1145273
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022 B000002 13-5659485
022 C000002 919
022 D000002 903
022 A000003 GOLDMAN, SACHS & CO.
022 B000003 13-5108880
022 C000003 664
022 D000003 670
022 A000004 J.P. MORGAN SECURITIES INC.
022 B000004 13-3299429
022 C000004 351
022 D000004 351
022 A000005 MORGAN STANLEY & CO. INCORPORATED
022 B000005 13-2655998
022 C000005 390
022 D000005 158

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022 A000006 AXA TACTICAL MANAGER 2000 PORTFOLIO - I
 022 C000006 0
 022 D000006 242
 022 A000007 AXA TACTICAL MANAGER 2000 PORTFOLIO - II
 022 C000007 0
 022 D000007 88
 022 A000008 DEUTSCHE BANK SECURITIES INC.
 022 B000008 13-2730828
 022 C000008 0
 022 D000008 9
 022 A000009 NATIONWIDE SMALL CAP INDEX FUND
 022 C000009 4
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 022 A000010 NYC POLICE PENSION FUND
 022 C000010 5

PAGE 6

022 D000010 1
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| 088 B000000 | N |
| 088 C000000 | N |
| 088 D000000 | N |

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SIGNATURE JAMES E.HILLMAN
TITLE TREASURER