

JAPAN SMALLER CAPITALIZATION FUND INC

Form NSAR-B

April 29, 2016

PAGE 1  
000 B000000 02/29/2016  
000 C000000 0000859796  
000 D000000 N  
000 E000000 NF  
000 F000000 Y  
000 G000000 N  
000 H000000 N  
000 I000000 6.1  
000 J000000 A  
001 A000000 JAPAN SMALLER CAPITALIZATION FUND, INC.  
001 B000000 811-05992  
001 C000000 2126671855  
002 A000000 WORLDWIDE PLAZA, 309 W. 49TH STREET  
002 B000000 NEW YORK  
002 C000000 NY  
002 D010000 10019  
002 D020000 7316  
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  
007 C011100 11  
007 C011200 12  
007 C011300 13  
007 C011400 14  
007 C011500 15  
007 C011600 16  
007 C011700 17  
007 C011800 18  
007 C011900 19  
007 C012000 20  
007 C012100 21  
007 C012200 22  
007 C012300 23  
007 C012400 24  
007 C012500 25  
007 C012600 26  
007 C012700 27  
007 C012800 28  
PAGE 2  
007 C012900 29  
007 C013000 30  
008 A000001 NOMURA ASSET MANAGEMENT U.S.A. INC.  
008 B000001 A  
008 C000001 801-12129  
008 D010001 NEW YORK

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008 D020001 NY  
008 D030001 10019  
008 D040001 7316  
008 A000002 NOMURA ASSET MANAGEMENT CO., LTD.  
008 B000002 S  
008 C000002 801-24357  
008 D010002 TOKYO  
008 D050002 JAPAN  
008 D060002 103-8260  
008 A000003 DELETE  
008 A000004 DELETE  
010 A000001 NOMURA ASSET MANAGEMENT U.S.A. INC.  
010 B000001 801-12129  
010 C010001 NEW YORK  
010 C020001 NY  
010 C030001 10019  
010 C040001 7316  
012 A000001 COMPUTERSHARE TRUST COMPANY, N.A  
012 B000001 85-11340  
012 C010001 COLLEGE STATION  
012 C020001 TX  
012 C030001 77842  
012 C040001 3170  
013 A000001 RSM U.S. LLP  
013 B010001 BOSTON  
013 B020001 MA  
013 B030001 02129  
014 A000001 NOMURA SECURITIES INTERNATIONAL, INC.  
014 B000001 8-15255  
014 A000002 NOMURA SECURITIES CO., LTD.  
014 B000002 8-00000  
015 A000001 BROWN BROTHERS HARRIMAN AND CO.  
015 B000001 C  
015 C010001 BOSTON  
015 C020001 MA  
015 C030001 02110  
015 C040001 1548  
015 E010001 X  
018 000000 Y  
019 A000000 Y  
019 B000000 2  
019 C000000 NOMURAASSE  
020 A000001 SMBC NIKKO SECURITIES  
020 C000001 39  
020 A000002 MIZUHO SECURITIES ASIA LIMITED  
PAGE 3  
020 C000002 27  
020 A000003 DAIWA CAPITAL MARKETS EUROPE  
020 C000003 16  
020 A000004 MITSUBISHI UFJ SECURITIES  
020 C000004 16  
020 A000005 MORGAN STANLEY & CO.  
020 C000005 4  
020 A000006 UBS SECURITIES ASIA LIMITED  
020 C000006 4  
020 A000007 DEUTSCHE BANK SECURITES INC.  
020 C000007 3  
020 A000008 CREDIT SUISSE FIRST BOSTON  
020 C000008 3  
020 A000009 JP MORGAN SECURITES PLC  
020 C000009 1  
020 A000010 BARCLAYS CAPITAL LONDON

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|     |         |                                 |
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| 021 | 000000  | 114                             |
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| 022 | C000001 | 78509                           |
| 022 | D000001 | 99684                           |
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| 022 | D000002 | 0                               |
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| 022 | D000010 | 0                               |
| 023 | C000000 | 78509                           |
| 023 | D000000 | 99684                           |
| 024 | 000000  | N                               |
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| 026 | G020000 | N                               |
| 026 | H000000 | N                               |
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| 028 | A020000 | 0                               |
| 028 | A030000 | 0                               |
| 028 | A040000 | 0                               |
| 028 | B010000 | 0                               |
| 028 | B020000 | 0                               |
| 028 | B030000 | 0                               |
| 028 | B040000 | 0                               |
| 028 | C010000 | 0                               |
| 028 | C020000 | 0                               |
| 028 | C030000 | 0                               |
| 028 | C040000 | 0                               |
| 028 | D010000 | 0                               |
| 028 | D020000 | 0                               |
| 028 | D030000 | 0                               |
| 028 | D040000 | 0                               |

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| 028 | E010000 | 0     |
| 028 | E020000 | 0     |
| 028 | E030000 | 0     |
| 028 | E040000 | 0     |
| 028 | F010000 | 0     |
| 028 | F020000 | 0     |
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| 028 | F040000 | 0     |
| 028 | G010000 | 0     |
| 028 | G020000 | 0     |
| 028 | G030000 | 0     |
| 028 | G040000 | 0     |
| 028 | H000000 | 0     |
| 030 | A000000 | 0     |
| 030 | B000000 | 0.00  |
| 030 | C000000 | 0.00  |
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| 031 | B000000 | 0     |
| 032 | 000000  | 0     |
| 033 | 000000  | 0     |
| 035 | 000000  | 0     |
| 036 | B000000 | 0     |
| 038 | 000000  | 0     |
| 042 | A000000 | 0     |
| 042 | B000000 | 0     |
|     | PAGE 5  |       |
| 042 | C000000 | 0     |
| 042 | D000000 | 0     |
| 042 | E000000 | 0     |
| 042 | F000000 | 0     |
| 042 | G000000 | 0     |
| 042 | H000000 | 0     |
| 043 | 000000  | 0     |
| 044 | 000000  | 0     |
| 045 | 000000  | Y     |
| 046 | 000000  | N     |
| 047 | 000000  | Y     |
| 048 | 000000  | 0.000 |
| 048 | A010000 | 50    |
| 048 | A020000 | 1.100 |
| 048 | B010000 | 50    |
| 048 | B020000 | 1.000 |
| 048 | C010000 | 75    |
| 048 | C020000 | 0.900 |
| 048 | D010000 | 75    |
| 048 | D020000 | 0.800 |
| 048 | E010000 | 75    |
| 048 | E020000 | 0.700 |
| 048 | F010000 | 100   |
| 048 | F020000 | 0.600 |
| 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 | 425   |
| 048 | K020000 | 0.500 |
| 049 | 000000  | N     |
| 050 | 000000  | N     |

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051 000000 N  
 052 000000 N  
 053 A000000 N  
 054 A000000 Y  
 054 B000000 Y  
 054 C000000 Y  
 054 D000000 N  
 054 E000000 N  
 054 F000000 N  
 054 G000000 Y  
 054 H000000 Y  
 054 I000000 N  
 054 J000000 Y  
 054 K000000 N  
 054 L000000 N  
     PAGE 6  
 054 M000000 Y  
 054 N000000 N  
 054 O000000 N  
 055 A000000 N  
 055 B000000 N  
 056 000000 Y  
 057 000000 N  
 058 A000000 N  
 059 000000 Y  
 060 A000000 N  
 060 B000000 N  
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 062 B000000 0.0  
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 062 L000000 0.0  
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 067 000000 N  
 068 A000000 N  
 068 B000000 Y  
 069 000000 N  
 070 A010000 Y  
 070 A020000 N  
 070 B010000 N

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|     |         |    |        |
|-----|---------|----|--------|
| 070 | B020000 | N  |        |
| 070 | C010000 | N  |        |
| 070 | C020000 | N  |        |
| 070 | D010000 | N  |        |
| 070 | D020000 | N  |        |
|     | PAGE    | 7  |        |
| 070 | E010000 | N  |        |
| 070 | E020000 | N  |        |
| 070 | F010000 | N  |        |
| 070 | F020000 | N  |        |
| 070 | G010000 | Y  |        |
| 070 | G020000 | N  |        |
| 070 | H010000 | N  |        |
| 070 | H020000 | N  |        |
| 070 | I010000 | N  |        |
| 070 | I020000 | N  |        |
| 070 | J010000 | Y  |        |
| 070 | J020000 | Y  |        |
| 070 | K010000 | Y  |        |
| 070 | K020000 | N  |        |
| 070 | L010000 | Y  |        |
| 070 | L020000 | Y  |        |
| 070 | M010000 | Y  |        |
| 070 | M020000 | Y  |        |
| 070 | N010000 | Y  |        |
| 070 | N020000 | N  |        |
| 070 | O010000 | Y  |        |
| 070 | O020000 | N  |        |
| 070 | P010000 | N  |        |
| 070 | P020000 | N  |        |
| 070 | Q010000 | N  |        |
| 070 | Q020000 | N  |        |
| 070 | R010000 | N  |        |
| 070 | R020000 | N  |        |
| 071 | A000000 |    | 78509  |
| 071 | B000000 |    | 99684  |
| 071 | C000000 |    | 323839 |
| 071 | D000000 | 24 |        |
| 072 | A000000 | 12 |        |
| 072 | B000000 |    | 1      |
| 072 | C000000 |    | 5270   |
| 072 | D000000 |    | 0      |
| 072 | E000000 |    | 0      |
| 072 | F000000 |    | 2878   |
| 072 | G000000 |    | 0      |
| 072 | H000000 |    | 0      |
| 072 | I000000 |    | 12     |
| 072 | J000000 |    | 279    |
| 072 | K000000 |    | 0      |
| 072 | L000000 |    | 34     |
| 072 | M000000 |    | 135    |
| 072 | N000000 |    | 28     |
| 072 | O000000 |    | 0      |
| 072 | P000000 |    | 0      |
| 072 | Q000000 |    | 0      |
| 072 | R000000 |    | 70     |
| 072 | S000000 |    | 156    |
|     | PAGE    | 8  |        |
| 072 | T000000 |    | 0      |
| 072 | U000000 |    | 0      |
| 072 | V000000 |    | 27     |
| 072 | W000000 |    | 15     |

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|             |        |
|-------------|--------|
| 072 X000000 | 3634   |
| 072 Y000000 | 0      |
| 072 Z000000 | 1637   |
| 072AA000000 | 27691  |
| 072BB000000 | 0      |
| 072CC010000 | 0      |
| 072CC020000 | 18010  |
| 072DD010000 | 4729   |
| 072DD020000 | 0      |
| 072EE000000 | 20134  |
| 073 A010000 | 0.1669 |
| 073 A020000 | 0.0000 |
| 073 B000000 | 0.7106 |
| 073 C000000 | 0.0000 |
| 074 A000000 | 307    |
| 074 B000000 | 0      |
| 074 C000000 | 0      |
| 074 D000000 | 0      |
| 074 E000000 | 0      |
| 074 F000000 | 295292 |
| 074 G000000 | 0      |
| 074 H000000 | 0      |
| 074 I000000 | 1651   |
| 074 J000000 | 1122   |
| 074 K000000 | 0      |
| 074 L000000 | 241    |
| 074 M000000 | 37     |
| 074 N000000 | 298650 |
| 074 O000000 | 500    |
| 074 P000000 | 444    |
| 074 Q000000 | 0      |
| 074 R010000 | 0      |
| 074 R020000 | 0      |
| 074 R030000 | 0      |
| 074 R040000 | 156    |
| 074 S000000 | 0      |
| 074 T000000 | 297550 |
| 074 U010000 | 28334  |
| 074 U020000 | 0      |
| 074 V010000 | 10.50  |
| 074 V020000 | 0.00   |
| 074 W000000 | 0.0000 |
| 074 X000000 | 7657   |
| 074 Y000000 | 0      |
| 075 A000000 | 0      |
| 075 B000000 | 328281 |
| 076 000000  | 8.98   |

PAGE 9

|             |                               |
|-------------|-------------------------------|
| 077 A000000 | Y                             |
| 077 B000000 | Y                             |
| 077 Q010000 | N                             |
| 077 Q020000 | N                             |
| 077 Q030000 | N                             |
| 078 000000  | N                             |
| 080 A000000 | CONTINENTAL INSURANCE COMPANY |
| 080 C000000 | 1200                          |
| 081 A000000 | Y                             |
| 081 B000000 | 1                             |
| 082 A000000 | Y                             |
| 082 B000000 | 25                            |
| 083 A000000 | N                             |
| 083 B000000 | 0                             |

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|           |              |              |   |
|-----------|--------------|--------------|---|
| 084       | A000000      | N            |   |
| 084       | B000000      |              | 0 |
| 085       | A000000      | Y            |   |
| 085       | B000000      | N            |   |
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| 086       | A020000      |              | 0 |
| 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 |   |
| 087       | A020000      | 47109U104    |   |
| 087       | A030000      | JOF          |   |
| 088       | A000000      | N            |   |
| 088       | B000000      | N            |   |
| 088       | C000000      | N            |   |
| 088       | D000000      | N            |   |
| SIGNATURE | AMY J MAROSE |              |   |
| TITLE     | TREASURER    |              |   |