

FIRST TRUST SPECIALTY FINANCE & FINANCIAL OPPORTUNITIES FUND

Form N-PX

July 24, 2014

UNITED STATES  
SECURITIES AND EXCHANGE COMMISSION  
Washington, DC 20549

FORM N-PX

ANNUAL REPORT OF PROXY VOTING RECORD OF REGISTERED MANAGEMENT  
INVESTMENT COMPANY

Investment Company Act File No. 811-22039

First Trust Specialty Finance and  
Financial Opportunities Fund

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Exact Name of Registrant as Specified in Declaration of Trust

120 East Liberty Drive, Suite 400, Wheaton, Illinois 60187

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Address of Principal Executive Offices (Number, Street, City, State, Zip Code)

W. Scott Jardine  
First Trust Portfolios L.P.  
120 East Liberty Drive, Suite 400  
Wheaton, Illinois 60187

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Name and Address (Number, Street, City, State, Zip Code) of Agent for Service

(630) 765-8000

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Registrant's Telephone Number, including Area Code

Date of fiscal year end: November 30  
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Date of reporting period: July 1, 2013 - June 30, 2014  
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Form N-PX is to be used by a registered management investment company, other than a small business investment company registered on Form N-5 (ss.ss. 239.24 and 274.5 of this chapter), to file reports with the Commission, not later than August 31 of each year, containing the registrant's proxy voting record for the most recent twelve-month period ended June 30, pursuant to section 30 of the Investment Company Act of 1940 and rule 30b1-4 thereunder (17 CFR 270.30b1-4). The Commission may use the information provided on Form N-PX in its regulatory, disclosure review, inspection, and policymaking roles.

A registrant is required to disclose the information specified by Form N-PX, and the Commission will make this information public. A registrant is not required to respond to the collection of information contained in Form N-PX unless the Form displays a currently valid Office of Management and Budget ("OMB") control number. Please direct comments concerning the accuracy of the information

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collection burden estimate and any suggestions for reducing the burden to the Secretary, Securities and Exchange Commission, 100 F Street, N.E., Washington D.C. 20549. The OMB has reviewed this collection of information under the clearance requirements of 44 U.S.C. Section 3507.

Item 1. Proxy Voting Record

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TICC CAPITAL CORP  
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SECURITY:	87244T109	MEETING TYPE:	Annual
TICKER:	TICC	MEETING DATE:	23-Jul-2013
ISIN	US87244T1097	VOTE DEADLINE DATE:	22-Jul-2013
AGENDA	933812972 Management	TOTAL BALLOT SHARES:	124567
LAST VOTE DATE:	03-Jun-2013		

ITEM	PROPOSAL	RECOMMEN- DATION	DEFAULT VOTE
1	DIRECTOR 1 TONIA L. PANKOPF	For	None
2	TO APPROVE A PROPOSAL TO AUTHORIZE TICC CAPITAL CORP. TO SELL SHARES OF ITS COMMON STOCK AT A PRICE OR PRICES BELOW TICC CAPITAL CORP.'S THEN CURRENT NET ASSET VALUE PER SHARE IN ONE OR MORE OFFERINGS, IN EACH CASE SUBJECT TO THE APPROVAL OF ITS BOARD OF DIRECTORS AND COMPLIANCE WITH THE CONDITIONS SET FORTH IN THE PROXY STATEMENT PERTAINING THERETO.	For	None

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STELLUS CAPITAL INVESTMENT CORPORATION  
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SECURITY:	858568108	MEETING TYPE:	Annual
TICKER:	SCM	MEETING DATE:	29-Jul-13
ISIN	US8585681088	VOTE DEADLINE DATE:	26-Jul-2013
AGENDA	933794237 Management	TOTAL BALLOT SHARES:	109180
LAST VOTE DATE:	20-Jun-2013		

ITEM	PROPOSAL	RECOMMEN- DATION	DEFAULT VOTE
1	DIRECTOR 1 DEAN D'ANGELO 2 WILLIAM C. REPKO	For	None
2	TO APPROVE A PROPOSAL TO AUTHORIZE THE COMPANY, WITH THE APPROVAL OF THE BOARD, TO SELL OR OTHERWISE ISSUE UP TO 25% OF THE COMPANY'S OUTSTANDING COMMON STOCK AT AN OFFERING PRICE THAT IS BELOW THE COMPANY'S THEN CURRENT NET ASSET VALUE PER SHARE ("NAV").	For	None

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 APOLLO INVESTMENT CORPORATION  
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SECURITY:	03761U106	MEETING TYPE:	Special
TICKER:	AINV	MEETING DATE:	6-Aug-13
ISIN	US03761U1060	VOTE DEADLINE DATE:	05-Aug-2013
AGENDA	933854007 Management	TOTAL BALLOT SHARES:	465445
LAST VOTE DATE:	02-Aug-2013		

ITEM	PROPOSAL	RECOMMEN- DATION	DEFAULT VOTE
1	TO APPROVE A PROPOSAL TO AUTHORIZE FLEXIBILITY FOR THE COMPANY, WITH APPROVAL OF ITS BOARD OF DIRECTORS, TO SELL SHARES OF ITS COMMON STOCK (DURING THE NEXT 12 MONTHS) AT PRICES BELOW THE COMPANY'S THEN CURRENT NET ASSET VALUE PER SHARE.	For	None

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 APOLLO INVESTMENT CORPORATION  
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SECURITY:	03761U106	MEETING TYPE:	Annual
TICKER:	AINV	MEETING DATE:	6-Aug-13
ISIN	US03761U1060	VOTE DEADLINE DATE:	05-Aug-2013
AGENDA	933853132 Management	TOTAL BALLOT SHARES:	465445
LAST VOTE DATE:	02-Aug-2013		

ITEM	PROPOSAL	RECOMMEN- DATION	DEFAULT VOTE
1	DIRECTOR 1 ELLIOT STEIN JR. 2 BRADLEY J. WECHSLER	For	None
2	TO RATIFY THE SELECTION OF PRICEWATERHOUSECOOPERS LLP AS APOLLO INVESTMENT CORPORATION'S (THE "COMPANY") INDEPENDENT REGISTERED PUBLIC ACCOUNTING FIRM FOR THE FISCAL YEAR ENDING MARCH 31, 2014.	For	None

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 GLADSTONE INVESTMENT CORPORATION  
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SECURITY:	376546107	MEETING TYPE:	Annual
TICKER:	GAIN	MEETING DATE:	8-Aug-13
ISIN	US3765461070	VOTE DEADLINE DATE:	07-Aug-2013
AGENDA	933851671 Management	TOTAL BALLOT SHARES:	183608
LAST VOTE DATE:	02-Aug-2013		

ITEM	PROPOSAL	RECOMMEN- DATION	DEFAULT VOTE
1	DIRECTOR 1 PAUL W. ADELGREN 2 DAVID GLADSTONE	For	None

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3 JOHN H. OUTLAND

2	TO APPROVE A PROPOSAL TO AUTHORIZE US, WITH THE APPROVAL OF OUR BOARD OF DIRECTORS (THE "BOARD"), TO ISSUE AND SELL SHARES OF OUR COMMON STOCK (DURING THE NEXT 12 MONTHS) AT A PRICE BELOW ITS THEN CURRENT NET ASSET VALUE PER SHARE, SUBJECT TO CERTAIN LIMITATIONS SET FORTH IN THE PROXY STATEMENT (INCLUDING, WITHOUT LIMITATION, THAT THE NUMBER OF SHARES ISSUED AND SOLD.	For	None
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 KCAP FINANCIAL, INC.  
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SECURITY:	48668E101	MEETING TYPE:	Special
TICKER:	KCAP	MEETING DATE:	9-Aug-13
ISIN	US48668E1010	VOTE DEADLINE DATE:	08-Aug-2013
AGENDA	933821488 Management	TOTAL BALLOT SHARES:	291123
LAST VOTE DATE:	20-Jun-2013		

ITEM	PROPOSAL	RECOMMEN- DATION	DEFAULT VOTE
1	TO APPROVE A PROPOSAL TO AUTHORIZE THE COMPANY, WITH APPROVAL OF ITS BOARD OF DIRECTORS, TO SELL SHARES OF ITS COMMON STOCK, PAR VALUE \$0.01 PER SHARE AT A PRICE BELOW THE THEN CURRENT NET ASSET VALUE PER SHARE OF SUCH COMMON STOCK, SUBJECT TO CERTAIN LIMITATIONS DESCRIBED IN THE PROXY STATEMENT.	For	None
2	TO APPROVE THE ISSUANCE OF SHARES UPON CONVERSION OF THE 8.75% CONVERTIBLE SENIOR NOTES DUE 2016 INTO MORE THAN 20% OF OUR COMMON STOCK OUTSTANDING UNDER APPLICABLE NASDAQ LISTING RULES.	For	None

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 SARATOGA INVESTMENT CORP  
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SECURITY:	80349A208	MEETING TYPE:	Annual
TICKER:	SAR	MEETING DATE:	26-Sep-2013
ISIN	US80349A2087	VOTE DEADLINE DATE:	25-Sep-2013
AGENDA	933871786 Management	TOTAL BALLOT SHARES:	14085
LAST VOTE DATE:	24-Sep-2013		

ITEM	PROPOSAL	RECOMMEN- DATION	DEFAULT VOTE
1	DIRECTOR 1 STEVEN M. LOONEY 2 CHARLES S. WHITMAN III	For	None
2	TO APPROVE A PROPOSAL TO AUTHORIZE	For	None

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THE COMPANY TO SELL OR OTHERWISE  
 ISSUE THE COMPANY'S COMMON STOCK AT  
 AN OFFERING PRICE PER SHARE TO  
 INVESTORS THAT IS NOT LESS THAN 85% OF  
 THE COMPANY'S THEN CURRENT NET ASSET  
 VALUE PER SHARE.

3	TO APPROVE THE ADJOURNMENT OF ANNUAL MEETING, IF NECESSARY OR APPROPRIATE, TO SOLICIT ADDITIONAL PROXIES IF THERE ARE INSUFFICIENT VOTES AT THE TIME OF ANNUAL MEETING, TO APPROVE PROPOSAL TO ELECT TWO DIRECTORS AND/OR PROPOSAL TO SELL OR ISSUE SHARES OF COMMON STOCK TO INVESTORS AT A PRICE PER SHARE THAT IS LESS THAN THE COMPANY'S THEN CURRENT NET ASSET VALUE PER SHARE.	For	None
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 PROSPECT CAPITAL CORPORATION  
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SECURITY:	74348T102	MEETING TYPE:	Annual
TICKER:	PSEC	MEETING DATE:	06-Dec-2013
ISIN	US74348T1025	VOTE DEADLINE DATE:	05-Dec-2013
AGENDA	933879807 Management	TOTAL BALLOT SHARES:	12276
LAST VOTE DATE:	19-Sep-2013		

ITEM	PROPOSAL	RECOMMEN- DATION	DEFAULT VOTE
1	DIRECTOR 1 EUGENE S. STARK 2 JOHN F. BARRY III	For	None
2	TO RATIFY THE SELECTION OF BDO USA, LLP TO SERVE AS THE COMPANY'S INDEPENDENT REGISTERED PUBLIC ACCOUNTING FIRM FOR THE FISCAL YEAR ENDING JUNE 30, 2014.	For	None
3	TO AUTHORIZE THE COMPANY, WITH APPROVAL OF ITS BOARD OF DIRECTORS, TO SELL SHARES OF ITS COMMON STOCK (DURING THE NEXT 12 MONTHS) AT A PRICE OR PRICES BELOW THE COMPANY'S THEN CURRENT NET ASSET VALUE PER SHARE IN ONE OR MORE OFFERINGS SUBJECT TO CERTAIN CONDITIONS AS SET FORTH IN THE ACCOMPANYING PROXY STATEMENT, ALL AS MORE FULLY DESCRIBED IN THE PROXY STATEMENT.	For	None

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 FULL CIRCLE CAPITAL CORPORATION  
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SECURITY:	359671104	MEETING TYPE:	Annual
TICKER:	FULL	MEETING DATE:	17-Jan-2014
ISIN	US3596711040	VOTE DEADLINE DATE:	16-Jan-2014
AGENDA	933894669 Management	TOTAL BALLOT SHARES:	147750

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LAST VOTE DATE: 15-Jan-2014

ITEM	PROPOSAL	RECOMMEN- DATION	DEFAULT VOTE
1	DIRECTOR 1 MARK C. BIDERMAN 2 THOMAS A. ORTWEIN, JR. 3 GREGG J. FELTON	For	None
2	TO RATIFY THE SELECTION OF ROTHSTEIN, KASS & COMPANY, P.C. TO SERVE AS THE INDEPENDENT REGISTERED PUBLIC ACCOUNTING FIRM FOR THE COMPANY FOR THE FISCAL YEAR ENDING JUNE 30, 2014.	For	None

FULL CIRCLE CAPITAL CORPORATION

SECURITY:	359671104	MEETING TYPE:	Special
TICKER:	FULL	MEETING DATE:	17-Jan-2014
ISIN	US3596711040	VOTE DEADLINE DATE:	16-Jan-2014
AGENDA	933897324 Management	TOTAL BALLOT SHARES:	147750
LAST VOTE DATE:	15-Jan-2014		

ITEM	PROPOSAL	RECOMMEN- DATION	DEFAULT VOTE
1	TO APPROVE A PROPOSAL TO AUTHORIZE THE COMPANY, WITH THE APPROVAL OF ITS BOARD OF DIRECTORS, TO SELL SHARES OF ITS COMMON STOCK AT A PRICE OR PRICES BELOW THE COMPANY'S THEN CURRENT NET ASSET VALUE PER SHARE IN ONE OR MORE OFFERINGS, SUBJECT TO CERTAIN CONDITIONS AS SET FORTH IN THE PROXY STATEMENT	For	None

GOLUB CAPITAL BDC, INC.

SECURITY:	38173M102	MEETING TYPE:	Annual
TICKER:	GBDC	MEETING DATE:	04-Feb-2014
ISIN	US38173M1027	VOTE DEADLINE DATE:	03-Feb-2014
AGENDA	933910689 Management	TOTAL BALLOT SHARES:	824094
LAST VOTE DATE:	31-Jan-2014		

ITEM	PROPOSAL	RECOMMEN- DATION	DEFAULT VOTE
1	ELECTION OF DIRECTOR: DAVID B. GOLUB	For	None
2	ELECTION OF DIRECTOR: ANITA R. ROSENBERG	For	None
3	TO RATIFY THE SELECTION OF MCGLADREY LLP TO SERVE AS THE COMPANY'S INDEPENDENT REGISTERED PUBLIC ACCOUNTING FIRM FOR THE FISCAL YEAR ENDING SEPTEMBER 30, 2014.	For	None

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 PENNANTPARK FLOATING RATE CAPITAL LTD.  
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SECURITY:	70806A106	MEETING TYPE:	Annual
TICKER:	PFLT	MEETING DATE:	04-Feb-2014
ISIN	US70806A1060	VOTE DEADLINE DATE:	03-Feb-2014
AGENDA	933910122 Management	TOTAL BALLOT SHARES:	178528
LAST VOTE DATE:	31-Jan-2014		

ITEM	PROPOSAL	RECOMMEN- DATION	DEFAULT VOTE
1	DIRECTOR 1 ARTHUR H. PENN	For	None
2	TO RATIFY THE SELECTION OF MCGLADREY LLP TO SERVE AS THE COMPANY'S INDEPENDENT REGISTERED PUBLIC ACCOUNTING FIRM FOR THE FISCAL YEAR ENDING SEPTEMBER 30, 2014.	For	None

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 GLADSTONE CAPITAL CORPORATION  
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SECURITY:	376535100	MEETING TYPE:	Annual
TICKER:	GLAD	MEETING DATE:	13-Feb-2014
ISIN	US3765351008	VOTE DEADLINE DATE:	12-Feb-2014
AGENDA	933909042 Management	TOTAL BALLOT SHARES:	362452
LAST VOTE DATE:	11-Feb-2014		

ITEM	PROPOSAL	RECOMMEN- DATION	DEFAULT VOTE
1	ELECTION OF DIRECTOR: MICHELA A. ENGLISH	For	None
2	ELECTION OF DIRECTOR: ANTHONY W. PARKER	For	None
3	TO APPROVE A PROPOSAL TO AUTHORIZE US, WITH THE APPROVAL OF OUR BOARD OF DIRECTORS, TO ISSUE AND SELL SHARES OF OUR COMMON STOCK (DURING THE NEXT 12 MONTHS) AT A PRICE BELOW ITS THEN CURRENT NET ASSET VALUE PER SHARE SUBJECT TO CERTAIN LIMITATIONS SET FORTH IN OUR PROXY STATEMENT	For	None

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 PENNANTPARK FLOATING RATE CAPITAL LTD.  
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SECURITY:	70806A106	MEETING TYPE:	Special
TICKER:	PFLT	MEETING DATE:	25-Feb-2014
ISIN	US70806A1060	VOTE DEADLINE DATE:	24-Feb-2014
AGENDA	933910045 Management	TOTAL BALLOT SHARES:	178528
LAST VOTE DATE:	31-Jan-2014		

RECOMMEN-      DEFAULT

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ITEM	PROPOSAL	DATION	VOTE
1	TO CONSIDER AND VOTE UPON A PROPOSAL TO AUTHORIZE FLEXIBILITY FOR THE COMPANY, WITH THE APPROVAL OF THE COMPANY'S BOARD OF DIRECTORS, TO SELL SHARES OF THE COMPANY'S COMMON STOCK (DURING THE NEXT 12 MONTHS) AT A PRICE BELOW THE THEN-CURRENT NET ASSET VALUE PER SHARE, SUBJECT TO CERTAIN LIMITATIONS DESCRIBED IN THE JOINT PROXY STATEMENT.	For	None

FIFTH STREET FINANCE CORP.

SECURITY:	31678A103	MEETING TYPE:	Annual
TICKER:	FSC	MEETING DATE:	13-Mar-2014
ISIN	US31678A1034	VOTE DEADLINE DATE:	12-Mar-2014
AGENDA	933919512 Management	TOTAL BALLOT SHARES:	90722
LAST VOTE DATE:	11-Mar-2014		

ITEM	PROPOSAL	RECOMMEN- DATION	DEFAULT VOTE
1	ELECTION OF DIRECTOR: IVELIN M. DIMITROV	For	None
2	ELECTION OF DIRECTOR: BRIAN S. DUNN	For	None
3	ELECTION OF DIRECTOR: BYRON J. HANEY	For	None
4	TO RATIFY THE APPOINTMENT OF PRICEWATERHOUSECOOPERS LLP AS THE COMPANY'S INDEPENDENT REGISTERED PUBLIC ACCOUNTING FIRM FOR THE FISCAL YEAR ENDING SEPTEMBER 30, 2014.	For	None

PENNANTPARK INVESTMENT CORPORATION

SECURITY:	708062104	MEETING TYPE:	Special
TICKER:	PNNT	MEETING DATE:	18-Mar-2014
ISIN	US7080621045	VOTE DEADLINE DATE:	17-Mar-2014
AGENDA	933909977 Management	TOTAL BALLOT SHARES:	753753
LAST VOTE DATE:	31-Jan-2014		

ITEM	PROPOSAL	RECOMMEN- DATION	DEFAULT VOTE
1	TO CONSIDER AND VOTE UPON A PROPOSAL TO AUTHORIZE FLEXIBILITY FOR THE COMPANY, WITH THE APPROVAL OF THE COMPANY'S BOARD OF DIRECTORS, TO SELL SHARES OF THE COMPANY'S COMMON STOCK (DURING THE NEXT 12 MONTHS) AT A PRICE BELOW THE THEN-CURRENT NET ASSET VALUE PER SHARE, SUBJECT TO CERTAIN LIMITATIONS DESCRIBED IN THE JOINT PROXY STATEMENT.	For	None



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PENNANTPARK INVESTMENT CORPORATION  
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SECURITY:	708062104	MEETING TYPE:	Annual
TICKER:	PNNT	MEETING DATE:	18-Mar-2014
ISIN	US7080621045	VOTE DEADLINE DATE:	17-Mar-2014
AGENDA	933910057 Management	TOTAL BALLOT SHARES:	753753
LAST VOTE DATE:	31-Jan-2014		

ITEM	PROPOSAL	RECOMMEN- DATION	DEFAULT VOTE
1	DIRECTOR 1 MARSHALL BROZOST 2 SAMUEL L. KATZ	For	None
2	TO RATIFY THE SELECTION OF MCGLADREY LLP TO SERVE AS THE COMPANY'S INDEPENDENT REGISTERED PUBLIC ACCOUNTING FIRM FOR THE FISCAL YEAR ENDING SEPTEMBER 30, 2014.	For	None

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MEDLEY CAPITAL CORPORATION  
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SECURITY:	58503F106	MEETING TYPE:	Annual
TICKER:	MCC	MEETING DATE:	03-Apr-2014
ISIN	US58503F1066	VOTE DEADLINE DATE:	02-Apr-2014
AGENDA	933914916 Management	TOTAL BALLOT SHARES:	546533
LAST VOTE DATE:	07-Feb-2014		

ITEM	PROPOSAL	RECOMMEN- DATION	DEFAULT VOTE
1	DIRECTOR 1 BROOK TAUBE 2 KARIN HIRTLE-GARVEY 3 JOHN E. MACK	For	None
2	THE RATIFICATION OF APPOINTMENT OF ERNST & YOUNG LLP AS THE INDEPENDENT REGISTERED PUBLIC ACCOUNTING FIRM FOR MEDLEY CAPITAL CORPORATION FOR THE FISCAL YEAR ENDING SEPTEMBER 30, 2014.	For	None
3	TO APPROVE AUTHORIZATION OF MEDLEY CAPITAL CORPORATION, WITH THE APPROVAL OF ITS BOARD OF DIRECTORS, TO SELL SHARES OF ITS COMMON STOCK AT A PRICE OR PRICES BELOW MEDLEY CAPITAL CORPORATION'S THEN CURRENT NET ASSET VALUE PER SHARE IN ONE OR MORE OFFERINGS, SUBJECT TO CERTAIN CONDITIONS AS SET FORTH IN THE PROXY ... (DUE TO SPACE LIMITS, SEE PROXY STATEMENT FOR FULL PROPOSAL)	For	None

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AMERICAN CAPITAL, LTD.

SECURITY:	02503Y103	MEETING TYPE:	Annual
TICKER:	ACAS	MEETING DATE:	25-Apr-2014
ISIN	US02503Y1038	VOTE DEADLINE DATE:	24-Apr-2014
AGENDA	933931607 Management	TOTAL BALLOT SHARES:	169426
LAST VOTE DATE:	15-Mar-2014		

ITEM	PROPOSAL	RECOMMEN- DATION	DEFAULT VOTE
1	ELECTION OF DIRECTOR: MARY C. BASKIN	For	None
2	ELECTION OF DIRECTOR: NEIL M. HAHL	For	None
3	ELECTION OF DIRECTOR: PHILIP R. HARPER	For	None
4	ELECTION OF DIRECTOR: STAN LUNDINE	For	None
5	ELECTION OF DIRECTOR: SUSAN K. NESTEGARD	For	None
6	ELECTION OF DIRECTOR: KENNETH D. PETERSON	For	None
7	ELECTION OF DIRECTOR: ALVIN N. PURYEAR	For	None
8	ELECTION OF DIRECTOR: MALON WILKUS	For	None
9	APPROVAL OF AN ADVISORY RESOLUTION ON EXECUTIVE COMPENSATION.	For	None
10	RATIFICATION OF THE APPOINTMENT OF ERNST & YOUNG LLP TO SERVE AS OUR INDEPENDENT PUBLIC ACCOUNTANT FOR THE YEAR ENDING DECEMBER 31, 2014.	For	None

MVC CAPITAL, INC.

SECURITY:	553829102	MEETING TYPE:	Annual
TICKER:	MVC	MEETING DATE:	29-Apr-2014
ISIN	US5538291023	VOTE DEADLINE DATE:	28-Apr-2014
AGENDA	933931277 Management	TOTAL BALLOT SHARES:	262050
LAST VOTE DATE:	21-Mar-2014		

ITEM	PROPOSAL	RECOMMEN- DATION	DEFAULT VOTE
1	DIRECTOR 1 EMILIO DOMINIANNI 2 PHILLIP GOLDSTEIN 3 GERALD HELLERMAN 4 WARREN HOLTSBERG 5 ROBERT KNAPP 6 WILLIAM TAYLOR 7 MICHAEL TOKARZ	For	None
2	TO RATIFY THE SELECTION OF ERNST & YOUNG LLP AS THE FUND'S INDEPENDENT REGISTERED PUBLIC ACCOUNTING FIRM	For	None

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FOR FISCAL YEAR 2014.

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GLADSTONE COMMERCIAL CORPORATION  
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SECURITY:	376536108	MEETING TYPE:	Annual
TICKER:	GOOD	MEETING DATE:	01-May-2014
ISIN	US3765361080	VOTE DEADLINE DATE:	30-Apr-2014
AGENDA	933940911 Management	TOTAL BALLOT SHARES:	44496
LAST VOTE DATE:	29-Apr-2014		

ITEM	PROPOSAL	RECOMMEN- DATION	DEFAULT VOTE
1	DIRECTOR 1 MICHELA A. ENGLISH 2 ANTHONY W. PARKER	For	None
2	TO RATIFY OUR AUDIT COMMITTEE'S SELECTION OF PRICEWATERHOUSECOOPERS LLP AS OUR INDEPENDENT REGISTERED PUBLIC ACCOUNTING FIRM FOR OUR FISCAL YEAR ENDING DECEMBER 31, 2014.	For	None

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KCAP FINANCIAL, INC.  
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SECURITY:	48668E101	MEETING TYPE:	Annual
TICKER:	KCAP	MEETING DATE:	05-May-2014
ISIN	US48668E1010	VOTE DEADLINE DATE:	02-May-2014
AGENDA	933947826 Management	TOTAL BALLOT SHARES:	341146
LAST VOTE DATE:	01-May-2014		

ITEM	PROPOSAL	RECOMMEN- DATION	DEFAULT VOTE
1	DIRECTOR 1 ALBERT G. PASTINO 2 C. MICHAEL JACOBI 3 JAY R. BLOOM	For	None
2	TO APPROVE, IN A NON-BINDING VOTE, THE COMPENSATION PAID TO THE COMPANY'S NAMED EXECUTIVE OFFICERS.	For	None
3	TO RATIFY THE SELECTION OF ERNST & YOUNG LLP AS THE INDEPENDENT REGISTERED PUBLIC ACCOUNTANT OF THE COMPANY FOR THE FISCAL YEAR ENDING DECEMBER 31, 2014.	For	None

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NEW MOUNTAIN FINANCE CORPORATION  
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SECURITY:	647551100	MEETING TYPE:	Annual
TICKER:	NMFC	MEETING DATE:	06-May-2014
ISIN	US6475511001	VOTE DEADLINE DATE:	05-May-2014
AGENDA	933970964 Management	TOTAL BALLOT SHARES:	385898

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LAST VOTE DATE: 02-May-2014

ITEM	PROPOSAL	RECOMMEN- DATION	DEFAULT VOTE
1	DIRECTOR 1 STEVEN B. KLINSKY 2 DAVID R. MALPASS 3 KURT J. WOLFGRUBER	For	None
2	TO AUTHORIZE, VOTING ON A PASS- THROUGH BASIS, THE BOARD OF DIRECTORS OF NEW MOUNTAIN FINANCE HOLDINGS, L.L.C. TO WITHDRAW NEW MOUNTAIN FINANCE HOLDINGS, L.L.C.'S ELECTION TO BE TREATED AS A BUSINESS DEVELOPMENT COMPANY UNDER THE INVESTMENT COMPANY ACT OF 1940, AS AMENDED.	For	None
3	TO APPROVE AN INVESTMENT ADVISORY AND MANAGEMENT AGREEMENT BETWEEN NEW MOUNTAIN FINANCE CORPORATION AND NEW MOUNTAIN FINANCE HOLDINGS, L.L.C.'S CURRENT INVESTMENT ADVISER, NEW MOUNTAIN FINANCE ADVISERS BDC, L.L.C.	For	None

SOLAR CAPITAL LTD

SECURITY:	83413U100	MEETING TYPE:	Annual
TICKER:	SLRC	MEETING DATE:	06-May-2014
ISIN	US83413U1007	VOTE DEADLINE DATE:	05-May-2014
AGENDA	933949806 Management	TOTAL BALLOT SHARES:	291292
LAST VOTE DATE:	02-May-2014		

ITEM	PROPOSAL	RECOMMEN- DATION	DEFAULT VOTE
1	DIRECTOR 1 BRUCE SPOHLER 2 STEVEN HOCHBERG	For	None
2	TO APPROVE A PROPOSAL TO AUTHORIZE SOLAR CAPITAL LTD. TO SELL SHARES OF ITS COMMON STOCK AT A PRICE OR PRICES BELOW SOLAR CAPITAL LTD.'S THEN CURRENT NET ASSET VALUE PER SHARE IN ONE OR MORE OFFERINGS, IN EACH CASE SUBJECT TO THE APPROVAL OF ITS BOARD OF DIRECTORS AND IN COMPLIANCE WITH THE CONDITIONS SET FORTH IN THE PROXY STATEMENT PERTAINING THERETO.	For	None

SOLAR SENIOR CAPITAL LTD

SECURITY:	83416M105	MEETING TYPE:	Annual
TICKER:	SUNS	MEETING DATE:	06-May-2014
ISIN	US83416M1053	VOTE DEADLINE DATE:	05-May-2014

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AGENDA 933947939 Management TOTAL BALLOT SHARES: 53959  
 LAST VOTE DATE: 02-May-2014

ITEM	PROPOSAL	RECOMMEN- DATION	DEFAULT VOTE
1	DIRECTOR 1 MICHAEL S. GROSS 2 LEONARD A. POTTER	For	None
2	APPROVAL TO AUTHORIZE SOLAR SENIOR CAPITAL LTD. TO SELL SHARES OF ITS COMMON STOCK AT A PRICE OR PRICES BELOW SOLAR SENIOR CAPITAL LTD.'S THEN CURRENT NET ASSET VALUE PER SHARE IN ONE OR MORE OFFERINGS, IN EACH CASE SUBJECT TO THE APPROVAL OF ITS BOARD OF DIRECTORS AND IN COMPLIANCE WITH THE CONDITIONS SET FORTH IN THE PROXY STATEMENT PERTAINING THERETO.	For	None

HATTERAS FINANCIAL CORP.

SECURITY: 41902R103 MEETING TYPE: Annual  
 TICKER: HTS MEETING DATE: 07-May-2014  
 ISIN US41902R1032 VOTE DEADLINE DATE: 06-May-2014  
 AGENDA 933946189 Management TOTAL BALLOT SHARES: 194282  
 LAST VOTE DATE: 05-May-2014

ITEM	PROPOSAL	RECOMMEN- DATION	DEFAULT VOTE
1	DIRECTOR 1 MICHAEL R. HOUGH 2 BENJAMIN M. HOUGH 3 DAVID W. BERSON 4 IRA G. KAWALLER 5 JEFFREY D. MILLER 6 THOMAS D. WREN	For	None
2	TO RATIFY THE APPOINTMENT OF ERNST & YOUNG LLP AS THE INDEPENDENT REGISTERED PUBLIC ACCOUNTING FIRM FOR THE YEAR ENDING DECEMBER 31, 2014.	For	None
3	TO APPROVE, BY NON-BINDING VOTE, EXECUTIVE COMPENSATION.	For	None

TRIANGLE CAPITAL CORPORATION

SECURITY: 895848109 MEETING TYPE: Annual  
 TICKER: TCAP MEETING DATE: 07-May-2014  
 ISIN US8958481090 VOTE DEADLINE DATE: 06-May-2014  
 AGENDA 933948171 Management TOTAL BALLOT SHARES: 176736  
 LAST VOTE DATE: 25-Mar-2014

ITEM	PROPOSAL	RECOMMEN- DATION	DEFAULT VOTE
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1	ELECTION OF DIRECTOR: GARLAND S. TUCKER, III	For	None
2	ELECTION OF DIRECTOR: E. ASHTON POOLE	For	None
3	ELECTION OF DIRECTOR: BRENT P.W. BURGESS	For	None
4	ELECTION OF DIRECTOR: STEVEN C. LILLY	For	None
5	ELECTION OF DIRECTOR: W. MCCOMB DUNWOODY	For	None
6	ELECTION OF DIRECTOR: MARK M. GAMBILL	For	None
7	ELECTION OF DIRECTOR: BENJAMIN S. GOLDSTEIN	For	None
8	ELECTION OF DIRECTOR: SIMON B. RICH, JR.	For	None
9	ELECTION OF DIRECTOR: SHERWOOD H. SMITH, JR.	For	None
10	TO APPROVE A PROPOSAL TO AUTHORIZE THE COMPANY, PURSUANT TO APPROVAL OF ITS BOARD OF DIRECTORS, TO SELL SHARES OF ITS COMMON STOCK OR WARRANTS, OPTIONS OR RIGHTS TO ACQUIRE ITS COMMON STOCK DURING THE NEXT YEAR AT A PRICE BELOW THE COMPANY'S THEN CURRENT NET ASSET VALUE (I.E., BOOK VALUE) PER SHARE, SUBJECT TO CERTAIN CONDITIONS.	For	None
11	TO APPROVE BY AN ADVISORY (NON-BINDING) VOTE, THE COMPENSATION OF OUR NAMED EXECUTIVE OFFICERS.	For	None

BLACKROCK KELSO CAPITAL CORP.

SECURITY:	092533108	MEETING TYPE:	Annual
TICKER:	BKCC	MEETING DATE:	09-May-2014
ISIN	US0925331086	VOTE DEADLINE DATE:	08-May-2014
AGENDA	933950380 Management	TOTAL BALLOT SHARES:	215735
LAST VOTE DATE:	26-Mar-2014		

ITEM	PROPOSAL	RECOMMEN- DATION	DEFAULT VOTE
1	DIRECTOR 1 JOHN R. BARON 2 JERROLD B. HARRIS 3 MICHAEL B. LAZAR	For	None
2	TO RATIFY THE SELECTION OF DELOITTE & TOUCHE LLP TO SERVE AS THE COMPANY'S INDEPENDENT REGISTERED PUBLIC ACCOUNTING FIRM FOR THE YEAR ENDING DECEMBER 31, 2014.	For	None

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 BLACKROCK KELSO CAPITAL CORP.  
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SECURITY:	092533108	MEETING TYPE:	Special
TICKER:	BKCC	MEETING DATE:	09-May-2014
ISIN	US0925331086	VOTE DEADLINE DATE:	08-May-2014
AGENDA	933953425 Management	TOTAL BALLOT SHARES:	215735
LAST VOTE DATE:	27-Mar-2014		

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ITEM	PROPOSAL	RECOMMEN- DATION	DEFAULT VOTE
1	TO AUTHORIZE FLEXIBILITY FOR THE COMPANY, WITH APPROVAL OF ITS BOARD OF DIRECTORS, TO SELL OR OTHERWISE ISSUE SHARES OF ITS COMMON STOCK (DURING THE NEXT 12 MONTHS) AT A PRICE BELOW THE COMPANY'S THEN CURRENT NET ASSET VALUE PER SHARE IN ONE OR MORE OFFERINGS, SUBJECT TO CERTAIN LIMITATIONS SET FORTH IN THE PROXY STATEMENT.	For	None

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CYS INVESTMENTS, INC

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SECURITY:	12673A108	MEETING TYPE:	Annual
TICKER:	CYS	MEETING DATE:	09-May-2014
ISIN	US12673A1088	VOTE DEADLINE DATE:	08-May-2014
AGENDA	933966042 Management	TOTAL BALLOT SHARES:	696880
LAST VOTE DATE:	04-Apr-2014		

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ITEM	PROPOSAL	RECOMMEN- DATION	DEFAULT VOTE
1	DIRECTOR 1 KEVIN E. GRANT 2 TANYA S. BEDER 3 DOUGLAS CROCKER, II 4 JEFFREY P. HUGHES 5 STEPHEN P. JONAS 6 R.A. REDLINGSHAFFER, JR. 7 JAMES A. STERN 8 DAVID A. TYSON, PHD	For	None
2	ADVISORY VOTE TO APPROVE THE COMPENSATION OF THE COMPANY'S NAMED EXECUTIVE OFFICERS.	For	None
3	TO CONSIDER AND ACT UPON A PROPOSAL TO RATIFY, CONFIRM AND APPROVE THE SELECTION OF DELOITTE & TOUCHE LLP AS OUR INDEPENDENT REGISTERED PUBLIC ACCOUNTING FIRM FOR THE FISCAL YEAR ENDING DECEMBER 31, 2014.	For	None

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TCP CAPITAL CORP.

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SECURITY:	87238Q103	MEETING TYPE:	Annual
TICKER:	TCPG	MEETING DATE:	15-May-2014
ISIN	US87238Q1031	VOTE DEADLINE DATE:	14-May-2014
AGENDA	933972843 Management	TOTAL BALLOT SHARES:	393477
LAST VOTE DATE:	13-May-2014		

ITEM	PROPOSAL	RECOMMEN- DATION	DEFAULT VOTE
1	DIRECTOR 1 ERIC J. DRAUT 2 FRANKLIN R. JOHNSON 3 PETER E. SCHWAB 4 HOWARD M. LEVKOWITZ 5 RAJNEESH VIG	For	None
2	TO AUTHORIZE THE COMPANY, WITH APPROVAL OF ITS BOARD OF DIRECTORS, TO SELL SHARES OF THE COMPANY'S COMMON STOCK (DURING THE NEXT 12 MONTHS) AT A PRICE OR PRICES BELOW ITS THEN CURRENT NET ASSET VALUE PER SHARE IN ONE OR MORE OFFERINGS, SUBJECT TO CERTAIN LIMITATIONS SET FORTH IN THE PROXY STATEMENT	For	None

STONE CASTLE FINANCIAL

SECURITY:	861780104	MEETING TYPE:	Annual
TICKER:	BANX	MEETING DATE:	20-May-2014
ISIN		VOTE DEADLINE DATE:	19-May-2014
AGENDA	934001645 Management	TOTAL BALLOT SHARES:	127211
LAST VOTE DATE:	16-May-2014		

ITEM	PROPOSAL	RECOMMEN- DATION	DEFAULT VOTE
1	DIRECTOR 1 CLARA MILLER 2 GEORGE SHILOWITZ	For	None

ANNALY CAPITAL MANAGEMENT, INC.

SECURITY:	035710409	MEETING TYPE:	Annual
TICKER:	NLY	MEETING DATE:	22-May-2014
ISIN	US0357104092	VOTE DEADLINE DATE:	21-May-2014
AGENDA	933971310 Management	TOTAL BALLOT SHARES:	367500
LAST VOTE DATE:	10-Apr-2014		

ITEM	PROPOSAL	RECOMMEN- DATION	DEFAULT VOTE
1	ELECTION OF DIRECTOR: JONATHAN D. GREEN	For	None
2	ELECTION OF DIRECTOR: JOHN H. SCHAEFER	For	None



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3	ELECTION OF DIRECTOR: FRANCINE J. BOVICH	For	None
4	THE PROPOSAL TO APPROVE A NON-BINDING ADVISORY RESOLUTION ON EXECUTIVE COMPENSATION.	For	None
5	RATIFICATION OF THE APPOINTMENT OF ERNST & YOUNG LLP AS INDEPENDENT REGISTERED PUBLIC ACCOUNTING FIRM FOR THE COMPANY FOR THE 2014 FISCAL YEAR.	For	None

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SAFEGUARD SCIENTIFICS, INC.  
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SECURITY:	786449207	MEETING TYPE:	Annual
TICKER:	SFE	MEETING DATE:	22-May-2014
ISIN	US7864492076	VOTE DEADLINE DATE:	21-May-2014
AGENDA	933976156 Management	TOTAL BALLOT SHARES:	97467
LAST VOTE DATE:	10-Apr-2014		

ITEM	PROPOSAL	RECOMMEN- DATION	DEFAULT VOTE
1	DIRECTOR 1 ANDREW E. LIETZ 2 STEPHEN T. ZARRILLI 3 JULIE A. DOBSON 4 KEITH B. JARRETT 5 GEORGE MACKENZIE 6 GEORGE D. MCCLELLAND 7 JACK L. MESSMAN 8 JOHN J. ROBERTS 9 ROBERT J. ROSENTHAL	For	None
2	ADVISORY RESOLUTION TO APPROVE THE COMPENSATION OF THE COMPANY'S NAMED EXECUTIVE OFFICERS.	For	None
3	APPROVAL OF THE AMENDED AND RESTATED 2004 EQUITY COMPENSATION PLAN.	For	None
4	RATIFICATION OF THE APPOINTMENT OF KPMG LLP AS THE COMPANY'S INDEPENDENT REGISTERED PUBLIC ACCOUNTING FIRM FOR 2014.	For	None

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TPG SPECIALTY LENDING INC  
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SECURITY:	87265K102	MEETING TYPE:	Annual
TICKER:	TSLX	MEETING DATE:	22-May-2014
ISIN	US87265K1025	VOTE DEADLINE DATE:	21-May-2014
AGENDA	933996449 Management	TOTAL BALLOT SHARES:	38528
LAST VOTE DATE:	20-May-2014		

RECOMMEN-      DEFAULT

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ITEM	PROPOSAL	DATION	VOTE
1	DIRECTOR 1 JOSHUA EASTERLY 2 MICHAEL FISHMAN	For	None
2	TO RATIFY THE SELECTION OF KPMG LLP AS THE INDEPENDENT REGISTERED PUBLIC ACCOUNTING FIRM FOR THE FISCAL YEAR ENDING DECEMBER 31, 2014.	For	None

MCG CAPITAL CORPORATION

SECURITY:	58047P107	MEETING TYPE:	Annual
TICKER:	MCGC	MEETING DATE:	28-May-2014
ISIN	US58047P1075	VOTE DEADLINE DATE:	27-May-2014
AGENDA	934005011 Management	TOTAL BALLOT SHARES:	445089
LAST VOTE DATE:	23-May-2014		

ITEM	PROPOSAL	RECOMMEN- DATION	DEFAULT VOTE
1	ELECTION OF DIRECTOR: KEITH KENNEDY	For	None
2	THE RATIFICATION OF THE SELECTION BY THE AUDIT COMMITTEE OF OUR BOARD OF DIRECTORS OF ERNST & YOUNG LLP AS OUR INDEPENDENT REGISTERED PUBLIC ACCOUNTING FIRM FOR THE YEAR ENDING DECEMBER 31, 2014.	For	None
3	ADVISORY VOTE TO APPROVE THE COMPENSATION OF OUR NAMED EXECUTIVE OFFICERS.	For	None

COMPASS DIVERSIFIED HOLDINGS

SECURITY:	20451Q104	MEETING TYPE:	Annual
TICKER:	CODI	MEETING DATE:	29-May-2014
ISIN	US20451Q1040	VOTE DEADLINE DATE:	28-May-2014
AGENDA	933982705 Management	TOTAL BALLOT SHARES:	187109
LAST VOTE DATE:	16-Apr-2014		

ITEM	PROPOSAL	RECOMMEN- DATION	DEFAULT VOTE
1	DIRECTOR 1 JAMES J. BOTTIGLIERI 2 GORDON M. BURNS	For	None
2	TO APPROVE, BY NON-BINDING VOTE, THE COMPENSATION OF OUR EXECUTIVE OFFICERS AS DISCLOSED IN THE PROXY STATEMENT.	For	None
3	TO RATIFY THE APPOINTMENT OF GRANT THORNTON LLP AS INDEPENDENT AUDITOR.	For	None

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 MAIN STREET CAPITAL CORPORATION  
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SECURITY:	56035L104	MEETING TYPE:	Annual
TICKER:	MAIN	MEETING DATE:	29-May-2014
ISIN	US56035L1044	VOTE DEADLINE DATE:	28-May-2014
AGENDA	933940315 Management	TOTAL BALLOT SHARES:	38932
LAST VOTE DATE:	27-May-2014		

ITEM	PROPOSAL	RECOMMEN- DATION	DEFAULT VOTE
1	ELECTION OF DIRECTOR: MICHAEL APPLING, JR.	For	None
2	ELECTION OF DIRECTOR: JOSEPH E. CANON	For	None
3	ELECTION OF DIRECTOR: ARTHUR L. FRENCH	For	None
4	ELECTION OF DIRECTOR: J. KEVIN GRIFFIN	For	None
5	ELECTION OF DIRECTOR: JOHN E. JACKSON	For	None
6	ELECTION OF DIRECTOR: VINCENT D. FOSTER	For	None
7	PROPOSAL TO RATIFY THE APPOINTMENT OF GRANT THORNTON, LLP AS OUR INDEPENDENT REGISTERED PUBLIC ACCOUNTING FIRM FOR THE YEAR ENDED DECEMBER 31, 2014.	For	None
8	ADVISORY NON-BINDING APPROVAL OF EXECUTIVE COMPENSATION.	For	None

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 ARES CAPITAL CORPORATION  
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SECURITY:	04010L103	MEETING TYPE:	Annual
TICKER:	ARCC	MEETING DATE:	02-Jun-2014
ISIN	US04010L1035	VOTE DEADLINE DATE:	30-May-2014
AGENDA	933989634 Management	TOTAL BALLOT SHARES:	1201212.5878
LAST VOTE DATE:	30-May-2014		

ITEM	PROPOSAL	RECOMMEN- DATION	DEFAULT VOTE
1	ELECTION OF DIRECTOR: MICHAEL J. AROUGHETI	For	None
2	ELECTION OF DIRECTOR: ANN TORRE BATES	For	None
3	ELECTION OF DIRECTOR: STEVEN B. MCKEEVER	For	None
4	TO RATIFY THE SELECTION OF KPMG LLP AS THE COMPANY'S INDEPENDENT REGISTERED PUBLIC ACCOUNTING FIRM FOR THE YEAR ENDING DECEMBER 31, 2014.	For	None

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5 TO AUTHORIZE THE COMPANY, WITH THE APPROVAL OF ITS BOARD OF DIRECTORS, TO SELL OR OTHERWISE ISSUE SHARES OF ITS COMMON STOCK AT A PRICE BELOW ITS THEN CURRENT NET ASSET VALUE PER SHARE SUBJECT TO THE LIMITATIONS SET FORTH IN THE PROXY STATEMENT FOR THE 2014 ANNUAL MEETING OF STOCKHOLDERS (INCLUDING, WITHOUT LIMITATION, THAT THE NUMBER OF SHARES ISSUED DOES NOT EXCEED 25% OF THE COMPANY'S THEN OUTSTANDING COMMON STOCK). For None

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 THL CREDIT, INC.  
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SECURITY:	872438106	MEETING TYPE:	Annual
TICKER:	TCRD	MEETING DATE:	03-Jun-2014
ISIN	US8724381061	VOTE DEADLINE DATE:	02-Jun-2014
AGENDA	934001051 Management	TOTAL BALLOT SHARES:	510484
LAST VOTE DATE:	30-May-2014		

ITEM	PROPOSAL	RECOMMEN- DATION	DEFAULT VOTE
1	DIRECTOR 1 DAVID K. DOWNES 2 NANCY HAWTHORNE 3 KEITH W. HUGHES 4 JAMES K. HUNT 5 JOHN A. SOMMERS 6 DAVID P. SOUTHWELL	For	None
2	APPROVAL OF A PROPOSAL TO AUTHORIZE THE COMPANY TO SELL OR OTHERWISE ISSUE UP TO 25% OF THE COMPANY'S OUTSTANDING COMMON STOCK AT A PRICE BELOW THE COMPANY'S THEN CURRENT NAV.	For	None
3	APPROVAL OF A PROPOSAL TO AUTHORIZE THE COMPANY TO OFFER AND ISSUE DEBT WITH WARRANTS OR DEBT CONVERTIBLE INTO SHARES OF ITS COMMON STOCK AT AN EXERCISE OR CONVERSION PRICE THAT, AT THE TIME SUCH WARRANTS OR CONVERTIBLE DEBT ARE ISSUED, WILL NOT BE LESS THAN THE MARKET VALUE PER SHARES BUT MAY BE BELOW THE COMPANY'S THEN CURRENT NAV.	For	None

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 FIDUS INVT CORP  
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SECURITY:	316500107	MEETING TYPE:	Annual
TICKER:	FDUS	MEETING DATE:	04-Jun-2014
ISIN	US3165001070	VOTE DEADLINE DATE:	03-Jun-2014
AGENDA	933970584 Management	TOTAL BALLOT SHARES:	7464
LAST VOTE DATE:	02-Jun-2014		

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ITEM	PROPOSAL	RECOMMEN- DATION	DEFAULT VOTE
1	DIRECTOR 1 EDWARD H. ROSS 2 RAYMOND L. ANSTISS, JR.	For	None
2	TO APPROVE A PROPOSAL TO AUTHORIZE THE COMPANY, SUBJECT TO THE APPROVAL OF THE COMPANY'S BOARD OF DIRECTORS, TO SELL OR OTHERWISE ISSUE SHARES OF ITS COMMON STOCK DURING THE NEXT YEAR AT A PRICE BELOW THE COMPANY'S THEN CURRENT NET ASSET VALUE PER SHARE, SUBJECT TO CERTAIN CONDITIONS AS SET FORTH IN THE PROXY ... (DUE TO SPACE LIMITS, SEE PROXY STATEMENT FOR FULL PROPOSAL)	For	None

OFS CAPITAL CORPORATION

SECURITY:	67103B100	MEETING TYPE:	Annual
TICKER:	OFS	MEETING DATE:	04-Jun-2014
ISIN	US67103B1008	VOTE DEADLINE DATE:	03-Jun-2014
AGENDA	934009398 Management	TOTAL BALLOT SHARES:	137559
LAST VOTE DATE:	02-Jun-2014		

ITEM	PROPOSAL	RECOMMEN- DATION	DEFAULT VOTE
1	DIRECTOR 1 ROBERT CRESCI 2 BILAL RASHID	For	None
2	TO RATIFY THE SELECTION OF BDO USA, LLP AS THE COMPANY'S INDEPENDENT REGISTERED PUBLIC ACCOUNTING FIRM FOR THE FISCAL YEAR ENDING DECEMBER 31, 2014.	For	None

MEDALLION FINANCIAL CORP.

SECURITY:	583928106	MEETING TYPE:	Annual
TICKER:	TAXI	MEETING DATE:	06-Jun-2014
ISIN	US5839281061	VOTE DEADLINE DATE:	05-Jun-2014
AGENDA	934006974 Management	TOTAL BALLOT SHARES:	250553
LAST VOTE DATE:	04-Jun-2014		

ITEM	PROPOSAL	RECOMMEN- DATION	DEFAULT VOTE
1	DIRECTOR 1 HENRY L. AARON 2 HENRY D. JACKSON 3 ALVIN MURSTEIN	For	None
2	PROPOSAL TO RATIFY THE APPOINTMENT	For	None

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OF WEISERMAZARS LLP AS MEDALLION  
FINANCIAL CORP.'S INDEPENDENT  
REGISTERED PUBLIC ACCOUNTING FIRM

3	PROPOSAL TO APPROVE A NON-BINDING ADVISORY RESOLUTION TO APPROVE EXECUTIVE COMPENSATION	For	None
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HARVEST CAPITAL CREDIT CORPORATION  
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SECURITY:	41753F109	MEETING TYPE:	Annual
TICKER:	HCAP	MEETING DATE:	09-Jun-2014
ISIN	US41753F1093	VOTE DEADLINE DATE:	06-Jun-2014
AGENDA	934002990 Management	TOTAL BALLOT SHARES:	8699
LAST VOTE DATE:	06-Jun-2014		

ITEM	PROPOSAL	RECOMMEN- DATION	DEFAULT VOTE
1	DIRECTOR 1 DORIAN B. KLEIN 2 JACK G. LEVIN	For	None
2	TO RATIFY THE SELECTION OF PRICEWATERHOUSECOOPERS LLP TO SERVE AS THE COMPANY'S INDEPENDENT REGISTERED PUBLIC ACCOUNTING FIRM FOR THE FISCAL YEAR ENDING DECEMBER 31, 2014.	For	None

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HORIZON TECHNOLOGY FINANCE CORPORATION  
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SECURITY:	44045A102	MEETING TYPE:	Annual
TICKER:	HRZN	MEETING DATE:	13-Jun-2014
ISIN	US44045A1025	VOTE DEADLINE DATE:	12-Jun-2014
AGENDA	934003360 Management	TOTAL BALLOT SHARES:	223222
LAST VOTE DATE:	12-Jun-2014		

ITEM	PROPOSAL	RECOMMEN- DATION	DEFAULT VOTE
1	DIRECTOR 1 JAMES J. BOTTIGLIERI 2 GERALD A. MICHAUD	For	None
2	TO RATIFY THE SELECTION OF MCGLADREY LLP TO SERVE AS HORIZON TECHNOLOGY FINANCE CORPORATION'S INDEPENDENT REGISTERED PUBLIC ACCOUNTING FIRM FOR THE FISCAL YEAR ENDING DECEMBER 31, 2014.	For	None

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ARES COMMERCIAL REAL ESTATE CORP  
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SECURITY:	04013V108	MEETING TYPE:	Annual
TICKER:	ACRE	MEETING DATE:	26-Jun-2014

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ISIN	US04013V1089	VOTE DEADLINE DATE:	25-Jun-2014
AGENDA	934010579 Management	TOTAL BALLOT SHARES:	20012
LAST VOTE DATE:	09-May-2014		

ITEM	PROPOSAL	RECOMMEN- DATION	DEFAULT VOTE
1	DIRECTOR 1 CAROLINE E. BLAKELY 2 JOHN HOPE BRYANT 3 ROBERT L. ROSEN	For	None
2	TO RATIFY THE SELECTION OF ERNST & YOUNG LLP AS THE COMPANY'S INDEPENDENT REGISTERED PUBLIC ACCOUNTING FIRM FOR THE YEAR ENDING DECEMBER 31, 2014.	For	None

MONROE CAPITAL CORPORATION

SECURITY:	610335101	MEETING TYPE:	Annual
TICKER:	MRCC	MEETING DATE:	27-Jun-2014
ISIN	US6103351010	VOTE DEADLINE DATE:	26-Jun-2014
AGENDA	934009728 Management	TOTAL BALLOT SHARES:	5114
LAST VOTE DATE:	23-Jun-2014		

ITEM	PROPOSAL	RECOMMEN- DATION	DEFAULT VOTE
1	DIRECTOR 1 JEFFREY A. GOLMAN 2 JORDE M. NATHAN 3 AARON D. PECK	For	None
2	TO APPROVE A PROPOSAL TO AUTHORIZE THE COMPANY, PURSUANT TO APPROVAL OF BOARD OF DIRECTORS OF THE COMPANY, TO SELL SHARES OF ITS COMMON STOCK OR WARRANTS, OPTIONS OR RIGHTS TO ACQUIRE ITS COMMON STOCK DURING NEXT TWELVE MONTHS AT A PRICE BELOW THE COMPANY'S THEN CURRENT NET ASSET VALUE PER SHARE, SUBJECT TO CERTAIN CONDITIONS AS SET FORTH IN THIS PROXY STATEMENT.	For	None

SIGNATURES

[See General Instruction F]

Pursuant to the requirements of the Investment Company Act of 1940, the registrant has duly caused this report to be signed on its behalf by the undersigned, thereunto duly authorized.

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(Registrant) FIRST TRUST SPECIALTY FINANCE  
AND FINANCIAL OPPORTUNITIES FUND  
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By (Signature and Title)\* /s/ Mark R. Bradley  
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Mark R. Bradley, President

Date July 24, 2014  
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\* Print the name and title of each signing officer under his or her signature.