

FIRST TRUST SPECIALTY FINANCE & FINANCIAL OPPORTUNITIES FUND

Form N-PX

July 13, 2018

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

Exact Name of Registrant as Specified in Declaration of Trust

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

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

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

(630) 765-8000

Registrant's Telephone Number, including Area Code

Date of fiscal year end: November 30

Date of reporting period: July 1, 2017 - June 30, 2018

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

Edgar Filing: FIRST TRUST SPECIALTY FINANCE & FINANCIAL OPPORTUNITIES FUND - Form N-PX

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

VOTE SUMMARY

FS INVESTMENT CORPORATION

| | | | |
|----------------|-----------------|--------------------|-------------|
| SECURITY | 302635107 | MEETING TYPE | Annual |
| TICKER SYMBOL | FSIC | MEETING DATE | 27-Jul-2017 |
| ISIN | US3026351078 | AGENDA | 934622982 |
| RECORD DATE | 20-Apr-2017 | HOLDING RECON DATE | 20-Apr-2017 |
| CITY / COUNTRY | / United States | VOTE DEADLINE DATE | 26-Jul-2017 |
| SEDOL(S) | | QUICK CODE | |

| ITEM | PROPOSAL | PROPOSED BY | VOTE | MANAGEMENT RECOMMENDATION |
|------|---------------------------|-------------|------|---------------------------|
| 1. | Election of Directors | Management | | |
| | 1 MICHAEL J. HAGAN | | For | For |
| | 2 JEFFREY K. HARROW | | For | For |
| | 3 PEDRO RAMOS | | For | For |
| | 4 JOSEPH P. UJOBAI | | For | For |
| 2. | Approve Private Placement | Management | For | For |

APOLLO INVESTMENT CORPORATION

| | | | |
|----------------|-----------------|--------------------|-------------|
| SECURITY | 03761U106 | MEETING TYPE | Annual |
| TICKER SYMBOL | AINV | MEETING DATE | 03-Aug-2017 |
| ISIN | US03761U1060 | AGENDA | 934652428 |
| RECORD DATE | 09-Jun-2017 | HOLDING RECON DATE | 09-Jun-2017 |
| CITY / COUNTRY | / United States | VOTE DEADLINE DATE | 02-Aug-2017 |
| SEDOL(S) | | QUICK CODE | |

| ITEM | PROPOSAL | PROPOSED BY | VOTE | MANAGEMENT RECOMMENDATION |
|------|--|-------------|------|---------------------------|
| 1. | Election of Directors | Management | | |
| | 1 JEANETTE W. LOEB | | For | For |
| | 2 FRANK C. PULEO | | For | For |
| | 3 CARL SPIELVOGEL | | For | For |
| 2. | Ratify Appointment of Independent Auditors | Management | For | For |

GLADSTONE INVESTMENT CORPORATION

Edgar Filing: FIRST TRUST SPECIALTY FINANCE & FINANCIAL OPPORTUNITIES FUND - Form N-PX

| | | | |
|----------------|-----------------|--------------------|-------------|
| SECURITY | 376546107 | MEETING TYPE | Annual |
| TICKER SYMBOL | GAIN | MEETING DATE | 24-Aug-2017 |
| ISIN | US3765461070 | AGENDA | 934651692 |
| RECORD DATE | 05-Jun-2017 | HOLDING RECON DATE | 05-Jun-2017 |
| CITY / COUNTRY | / United States | VOTE DEADLINE DATE | 23-Aug-2017 |

SEDOL(S) QUICK CODE

| ITEM | PROPOSAL | PROPOSED BY | VOTE | MANAGEMENT RECOMMENDATION |
|------|--|-------------|------|---------------------------|
| 1. | Election of Directors 1 ANTHONY W. PARKER | Management | For | For |
| 2. | Authorize Sale of Assets | Management | For | For |

HERCULES CAPITAL INC

| | | | |
|----------------|-----------------|--------------------|-------------|
| SECURITY | 427096508 | MEETING TYPE | Annual |
| TICKER SYMBOL | HTGC | MEETING DATE | 13-Dec-2017 |
| ISIN | US4270965084 | AGENDA | 934703174 |
| RECORD DATE | 30-Oct-2017 | HOLDING RECON DATE | 30-Oct-2017 |
| CITY / COUNTRY | / United States | VOTE DEADLINE DATE | 12-Dec-2017 |

SEDOL(S) QUICK CODE

| ITEM | PROPOSAL | PROPOSED BY | VOTE | MANAGEMENT RECOMMENDATION |
|------|--|-------------|--------|---------------------------|
| 1. | Election of Directors 1 ROBERT P. BADAVAS 2 JORGE TITINGER | Management | For | For |
| 2. | 14A Executive Compensation | Management | For | For |
| 3. | 14A Executive Compensation Vote Frequency | Management | 1 Year | 1 Year |
| 4. | Ratify Appointment of Independent Auditors | Management | For | For |

CM FINANCE INC.

| | | | |
|----------------|-----------------|--------------------|-------------|
| SECURITY | 12574Q103 | MEETING TYPE | Annual |
| TICKER SYMBOL | CMFN | MEETING DATE | 21-Dec-2017 |
| ISIN | US12574Q1031 | AGENDA | 934682659 |
| RECORD DATE | 08-Sep-2017 | HOLDING RECON DATE | 08-Sep-2017 |
| CITY / COUNTRY | / United States | VOTE DEADLINE DATE | 20-Dec-2017 |

SEDOL(S) QUICK CODE

| ITEM | PROPOSAL | PROPOSED BY | VOTE | MANAGEMENT RECOMMENDATION |
|------|---|-------------|------|---------------------------|
| 1. | Election of Directors 1 KEITH LEE 2 JULIE PERSILY | Management | For | For |
| 2. | Authorize Sale of Assets | Management | For | For |

GOLUB CAPITAL BDC, INC.

Edgar Filing: FIRST TRUST SPECIALTY FINANCE & FINANCIAL OPPORTUNITIES FUND - Form N-PX

| | | | |
|----------------|-----------------|--------------------|-------------|
| SECURITY | 38173M102 | MEETING TYPE | Annual |
| TICKER SYMBOL | GBDC | MEETING DATE | 06-Feb-2017 |
| ISIN | US38173M1027 | AGENDA | 934715383 |
| RECORD DATE | 12-Dec-2017 | HOLDING RECON DATE | 12-Dec-2017 |
| CITY / COUNTRY | / United States | VOTE DEADLINE DATE | 05-Feb-2017 |

SEDOL(S) QUICK CODE

| ITEM | PROPOSAL | PROPOSED BY | VOTE | MANAGEMENT RECOMMENDATION |
|------|--|-------------|------|---------------------------|
| 1A) | Election of Directors (Majority Voting) | Management | For | For |
| 1B) | Election of Directors (Majority Voting) | Management | For | For |
| 2) | Ratify Appointment of Independent Auditors | Management | For | For |

MEDLEY CAPITAL CORPORATION

| | | | |
|----------------|-----------------|--------------------|-------------|
| SECURITY | 58503F106 | MEETING TYPE | Annual |
| TICKER SYMBOL | MCC | MEETING DATE | 13-Feb-2017 |
| ISIN | US58503F1066 | AGENDA | 934716575 |
| RECORD DATE | 19-Dec-2017 | HOLDING RECON DATE | 19-Dec-2017 |
| CITY / COUNTRY | / United States | VOTE DEADLINE DATE | 12-Feb-2017 |

SEDOL(S) QUICK CODE

| ITEM | PROPOSAL | PROPOSED BY | VOTE | MANAGEMENT RECOMMENDATION |
|------|--|-------------|------|---------------------------|
| 1. | Election of Directors | Management | | |
| | 1 Mr. Jeff Tonkel | | For | For |
| | 2 Mr. Mark Lerdal | | For | For |
| 2. | Ratify Appointment of Independent Auditors | Management | For | For |

PENNANTPARK INVESTMENT CORPORATION

| | | | |
|----------------|-----------------|--------------------|-------------|
| SECURITY | 708062104 | MEETING TYPE | Annual |
| TICKER SYMBOL | PNNT | MEETING DATE | 14-Mar-2017 |
| ISIN | US7080621045 | AGENDA | 934712779 |
| RECORD DATE | 17-Nov-2017 | HOLDING RECON DATE | 17-Nov-2017 |
| CITY / COUNTRY | / United States | VOTE DEADLINE DATE | 13-Mar-2017 |

SEDOL(S) QUICK CODE

| ITEM | PROPOSAL | PROPOSED BY | VOTE | MANAGEMENT RECOMMENDATION |
|------|--|-------------|------|---------------------------|
| 1. | Election of Directors | Management | | |
| | 1 MR. ADAM BERNSTEIN | | For | For |
| | 2 MR. JEFFREY FLUG | | For | For |
| 2. | Ratify Appointment of Independent Auditors | Management | For | For |

FS INVESTMENT CORPORATION

| | | | |
|---------------|--------------|--------------|-------------|
| SECURITY | 302635107 | MEETING TYPE | Special |
| TICKER SYMBOL | FSIC | MEETING DATE | 26-Mar-2017 |
| ISIN | US3026351078 | AGENDA | 934723291 |

Edgar Filing: FIRST TRUST SPECIALTY FINANCE & FINANCIAL OPPORTUNITIES FUND - Form N-PX

| | | | |
|----------------|-----------------|--------------------|-------------|
| RECORD DATE | 18-Jan-2018 | HOLDING RECON DATE | 18-Jan-2018 |
| CITY / COUNTRY | / United States | VOTE DEADLINE DATE | 23-Mar-2018 |

SEDOL(S)

QUICK CODE

| ITEM | PROPOSAL | PROPOSED BY | VOTE | MANAGEMENT RECOMMENDATION |
|------|---------------------------------------|-------------|------|---------------------------|
| 1. | Approve Investment Advisory Agreement | Management | For | For |
| 2. | Approve Investment Advisory Agreement | Management | For | For |

CORPORATE CAPITAL TRUST, INC.

| | | | |
|----------------|-----------------|--------------------|-------------|
| SECURITY | 219880101 | MEETING TYPE | Special |
| TICKER SYMBOL | CCT | MEETING DATE | 26-Mar-2018 |
| ISIN | US2198801019 | AGENDA | 934723734 |
| RECORD DATE | 22-Jan-2018 | HOLDING RECON DATE | 22-Jan-2018 |
| CITY / COUNTRY | / United States | VOTE DEADLINE DATE | 23-Mar-2018 |

SEDOL(S)

QUICK CODE

| ITEM | PROPOSAL | PROPOSED BY | VOTE | MANAGEMENT RECOMMENDATION |
|------|---------------------------------------|-------------|------|---------------------------|
| 1. | Approve Investment Advisory Agreement | Management | For | For |
| 2. | Approve Investment Advisory Agreement | Management | For | For |

TRIPLEPOINT VENTURE GROWTH BDC CORP.

| | | | |
|----------------|-----------------|--------------------|-------------|
| SECURITY | 89677Y100 | MEETING TYPE | Annual |
| TICKER SYMBOL | TPVG | MEETING DATE | 25-Apr-2018 |
| ISIN | US89677Y1001 | AGENDA | 934751187 |
| RECORD DATE | 12-Mar-2018 | HOLDING RECON DATE | 12-Mar-2018 |
| CITY / COUNTRY | / United States | VOTE DEADLINE DATE | 24-Apr-2018 |

SEDOL(S)

QUICK CODE

| ITEM | PROPOSAL | PROPOSED BY | VOTE | MANAGEMENT RECOMMENDATION |
|------|--|-------------|------|---------------------------|
| 1. | Election of Directors 1 Sajal K. Srivastava 2 Stephen A. Cassani | Management | For | For |
| 2. | Ratify Appointment of Independent Auditors | Management | For | For |
| 3. | Approve Issuance of Warrants | Management | For | For |

NEW MOUNTAIN FINANCE CORPORATION

| | | | |
|----------------|-----------------|--------------------|-------------|
| SECURITY | 647551100 | MEETING TYPE | Annual |
| TICKER SYMBOL | NMFC | MEETING DATE | 26-Apr-2018 |
| ISIN | US6475511001 | AGENDA | 934738571 |
| RECORD DATE | 01-Mar-2018 | HOLDING RECON DATE | 01-Mar-2018 |
| CITY / COUNTRY | / United States | VOTE DEADLINE DATE | 25-Apr-2018 |

SEDOL(S)

QUICK CODE

Edgar Filing: FIRST TRUST SPECIALTY FINANCE & FINANCIAL OPPORTUNITIES FUND - Form N-PX

| ITEM | PROPOSAL | PROPOSED BY | VOTE | MANAGEMENT RECOMMENDATION |
|------|---|-------------|------------|---------------------------|
| 1. | Election of Directors 1 David Ogens 2 Adam B. Weinstein | Management | For For | For For |
| 2. | Ratify Appointment of Independent Auditors | Management | For | For |

MAIN STREET CAPITAL CORPORATION

| | | | |
|----------------|-----------------|--------------------|-------------|
| SECURITY | 56035L104 | MEETING TYPE | Annual |
| TICKER SYMBOL | MAIN | MEETING DATE | 30-Apr-2018 |
| ISIN | US56035L1044 | AGENDA | 934739826 |
| RECORD DATE | 02-Mar-2018 | HOLDING RECON DATE | 02-Mar-2018 |
| CITY / COUNTRY | / United States | VOTE DEADLINE DATE | 27-Apr-2018 |
| SEDOL(S) | | QUICK CODE | |

| ITEM | PROPOSAL | PROPOSED BY | VOTE | MANAGEMENT RECOMMENDATION |
|------|--|-------------|------|---------------------------|
| 1A. | Election of Directors (Majority Voting) | Management | For | For |
| 1B. | Election of Directors (Majority Voting) | Management | For | For |
| 1C. | Election of Directors (Majority Voting) | Management | For | For |
| 1D. | Election of Directors (Majority Voting) | Management | For | For |
| 1E. | Election of Directors (Majority Voting) | Management | For | For |
| 1F. | Election of Directors (Majority Voting) | Management | For | For |
| 1G. | Election of Directors (Majority Voting) | Management | For | For |
| 1H. | Election of Directors (Majority Voting) | Management | For | For |
| 1I. | Election of Directors (Majority Voting) | Management | For | For |
| 1J. | Election of Directors (Majority Voting) | Management | For | For |
| 2. | Ratify Appointment of Independent Auditors | Management | For | For |
| 3. | 14A Executive Compensation | Management | For | For |
| 4. | Approve Charter Amendment | Management | For | For |

TRIANGLE CAPITAL CORPORATION

| | | | |
|----------------|-----------------|--------------------|-------------|
| SECURITY | 895848109 | MEETING TYPE | Annual |
| TICKER SYMBOL | TCAP | MEETING DATE | 02-May-2018 |
| ISIN | US8958481090 | AGENDA | 934736983 |
| RECORD DATE | 22-Feb-2018 | HOLDING RECON DATE | 22-Feb-2018 |
| CITY / COUNTRY | / United States | VOTE DEADLINE DATE | 01-May-2018 |
| SEDOL(S) | | QUICK CODE | |

| ITEM | PROPOSAL | PROPOSED BY | VOTE | MANAGEMENT RECOMMENDATION |
|------|--|-------------|------|---------------------------|
| 1.1 | Election of Directors (Majority Voting) | Management | For | For |
| 1.2 | Election of Directors (Majority Voting) | Management | For | For |
| 1.3 | Election of Directors (Majority Voting) | Management | For | For |
| 1.4 | Election of Directors (Majority Voting) | Management | For | For |
| 1.5 | Election of Directors (Majority Voting) | Management | For | For |
| 1.6 | Election of Directors (Majority Voting) | Management | For | For |
| 1.7 | Election of Directors (Majority Voting) | Management | For | For |
| 1.8 | Election of Directors (Majority Voting) | Management | For | For |
| 2. | Ratify Appointment of Independent Auditors | Management | For | For |
| 3. | 14A Executive Compensation | Management | For | For |

Edgar Filing: FIRST TRUST SPECIALTY FINANCE & FINANCIAL OPPORTUNITIES FUND - Form N-PX

KCAP FINANCIAL, INC.

| | | | |
|----------------|-----------------|--------------------|------------|
| SECURITY | 48668E101 | MEETING TYPE | Annual |
| TICKER SYMBOL | KCAP | MEETING DATE | 03-May-201 |
| ISIN | US48668E1010 | AGENDA | 934748774 |
| RECORD DATE | 08-Mar-2018 | HOLDING RECON DATE | 08-Mar-201 |
| CITY / COUNTRY | / United States | VOTE DEADLINE DATE | 02-May-201 |
| SEDOL(S) | | QUICK CODE | |

| ITEM | PROPOSAL | PROPOSED BY | VOTE | MANAGEMENT RECOMMENDATION |
|------|--|-------------|------|---------------------------|
| 1. | Election of Directors | Management | | |
| | 1 Christopher Lacovara | | For | For |
| | 2 Dayl W. Pearson | | For | For |
| 2. | 14A Executive Compensation | Management | For | For |
| 3. | Ratify Appointment of Independent Auditors | Management | For | For |

CYS INVESTMENTS, INC

| | | | |
|----------------|-----------------|--------------------|------------|
| SECURITY | 12673A108 | MEETING TYPE | Annual |
| TICKER SYMBOL | CYS | MEETING DATE | 11-May-201 |
| ISIN | US12673A1088 | AGENDA | 934758511 |
| RECORD DATE | 15-Mar-2018 | HOLDING RECON DATE | 15-Mar-201 |
| CITY / COUNTRY | / United States | VOTE DEADLINE DATE | 10-May-201 |
| SEDOL(S) | | QUICK CODE | |

| ITEM | PROPOSAL | PROPOSED BY | VOTE | MANAGEMENT RECOMMENDATION |
|------|--|-------------|--------|---------------------------|
| 1. | Election of Directors | Management | | |
| | 1 Kevin E. Grant | | For | For |
| | 2 Tanya S. Beder | | For | For |
| | 3 Karen Hammond | | For | For |
| | 4 R.A. Redlingshafer Jr | | For | For |
| | 5 Dale A. Reiss | | For | For |
| | 6 James A. Stern | | For | For |
| 2. | 14A Executive Compensation | Management | For | For |
| 3. | 14A Executive Compensation Vote Frequency | Management | 1 Year | 1 Year |
| 4. | Ratify Appointment of Independent Auditors | Management | For | For |

ARES CAPITAL CORPORATION

| | | | |
|----------------|-----------------|--------------------|------------|
| SECURITY | 04010L103 | MEETING TYPE | Special |
| TICKER SYMBOL | ARCC | MEETING DATE | 14-May-201 |
| ISIN | US04010L1035 | AGENDA | 934768358 |
| RECORD DATE | 16-Mar-2018 | HOLDING RECON DATE | 16-Mar-201 |
| CITY / COUNTRY | / United States | VOTE DEADLINE DATE | 11-May-201 |
| SEDOL(S) | | QUICK CODE | |

PROPOSED

MANAGEMENT

Edgar Filing: FIRST TRUST SPECIALTY FINANCE & FINANCIAL OPPORTUNITIES FUND - Form N-PX

| ITEM | PROPOSAL | BY | VOTE | RECOMMENDATION |
|------|--------------------------|------------|------|----------------|
| 1 | Authorize Sale of Assets | Management | For | For |

ARES CAPITAL CORPORATION

| | | | |
|----------------|-----------------|--------------------|-------------|
| SECURITY | 04010L103 | MEETING TYPE | Annual |
| TICKER SYMBOL | ARCC | MEETING DATE | 14-May-2018 |
| ISIN | US04010L1035 | AGENDA | 934771177 |
| RECORD DATE | 16-Mar-2018 | HOLDING RECON DATE | 16-Mar-2018 |
| CITY / COUNTRY | / United States | VOTE DEADLINE DATE | 11-May-2018 |
| SEDOL(S) | | QUICK CODE | |

| ITEM | PROPOSAL | PROPOSED BY | VOTE | MANAGEMENT RECOMMENDATION |
|------|--|-------------|------|---------------------------|
| 1a. | Election of Directors (Majority Voting) | Management | For | For |
| 1b. | Election of Directors (Majority Voting) | Management | For | For |
| 1c. | Election of Directors (Majority Voting) | Management | For | For |
| 2. | Ratify Appointment of Independent Auditors | Management | For | For |

CAPSTEAD MORTGAGE CORPORATION

| | | | |
|----------------|-----------------|--------------------|-------------|
| SECURITY | 14067E506 | MEETING TYPE | Annual |
| TICKER SYMBOL | CMO | MEETING DATE | 16-May-2018 |
| ISIN | US14067E5069 | AGENDA | 934766291 |
| RECORD DATE | 23-Mar-2018 | HOLDING RECON DATE | 23-Mar-2018 |
| CITY / COUNTRY | / United States | VOTE DEADLINE DATE | 15-May-2018 |
| SEDOL(S) | | QUICK CODE | |

| ITEM | PROPOSAL | PROPOSED BY | VOTE | MANAGEMENT RECOMMENDATION |
|------|--|-------------|------|---------------------------|
| 1A | Election of Directors (Majority Voting) | Management | For | For |
| 1B | Election of Directors (Majority Voting) | Management | For | For |
| 1C | Election of Directors (Majority Voting) | Management | For | For |
| 1D | Election of Directors (Majority Voting) | Management | For | For |
| 1E | Election of Directors (Majority Voting) | Management | For | For |
| 1F | Election of Directors (Majority Voting) | Management | For | For |
| 1G | Election of Directors (Majority Voting) | Management | For | For |
| 1H | Election of Directors (Majority Voting) | Management | For | For |
| 2. | 14A Executive Compensation | Management | For | For |
| 3. | Ratify Appointment of Independent Auditors | Management | For | For |

TPG SPECIALTY LENDING, INC.

| | | | |
|----------------|-----------------|--------------------|-------------|
| SECURITY | 87265K102 | MEETING TYPE | Special |
| TICKER SYMBOL | TSLX | MEETING DATE | 17-May-2018 |
| ISIN | US87265K1025 | AGENDA | 934771038 |
| RECORD DATE | 19-Mar-2018 | HOLDING RECON DATE | 19-Mar-2018 |
| CITY / COUNTRY | / United States | VOTE DEADLINE DATE | 16-May-2018 |
| SEDOL(S) | | QUICK CODE | |

Edgar Filing: FIRST TRUST SPECIALTY FINANCE & FINANCIAL OPPORTUNITIES FUND - Form N-PX

| ITEM | PROPOSAL | PROPOSED BY | VOTE | MANAGEMENT RECOMMENDATION |
|------|--------------------------|-------------|------|---------------------------|
| 1. | Authorize Sale of Assets | Management | For | For |

TPG SPECIALTY LENDING, INC.

| | | | |
|----------------|-----------------|--------------------|-------------|
| SECURITY | 87265K102 | MEETING TYPE | Annual |
| TICKER SYMBOL | TSLX | MEETING DATE | 17-May-2018 |
| ISIN | US87265K1025 | AGENDA | 934771317 |
| RECORD DATE | 19-Mar-2018 | HOLDING RECON DATE | 19-Mar-2018 |
| CITY / COUNTRY | / United States | VOTE DEADLINE DATE | 16-May-2018 |
| SEDOL(S) | | QUICK CODE | |

| ITEM | PROPOSAL | PROPOSED BY | VOTE | MANAGEMENT RECOMMENDATION |
|------|--|-------------|------|---------------------------|
| 1. | Election of Directors | Management | | |
| | 1 Richard Higginbotham | | For | For |
| | 2 Ronald Tanemura | | For | For |
| 2. | Ratify Appointment of Independent Auditors | Management | For | For |

ANNALY CAPITAL MANAGEMENT, INC.

| | | | |
|----------------|-----------------|--------------------|-------------|
| SECURITY | 035710409 | MEETING TYPE | Annual |
| TICKER SYMBOL | NLY | MEETING DATE | 23-May-2018 |
| ISIN | US0357104092 | AGENDA | 934772004 |
| RECORD DATE | 26-Mar-2018 | HOLDING RECON DATE | 26-Mar-2018 |
| CITY / COUNTRY | / United States | VOTE DEADLINE DATE | 22-May-2018 |
| SEDOL(S) | | QUICK CODE | |

| ITEM | PROPOSAL | PROPOSED BY | VOTE | MANAGEMENT RECOMMENDATION |
|------|--|-------------|------|---------------------------|
| 1a. | Election of Directors (Majority Voting) | Management | For | For |
| 1b. | Election of Directors (Majority Voting) | Management | For | For |
| 1c. | Election of Directors (Majority Voting) | Management | For | For |
| 1d. | Election of Directors (Majority Voting) | Management | For | For |
| 1e. | Election of Directors (Majority Voting) | Management | For | For |
| 2. | 14A Executive Compensation | Management | For | For |
| 3. | Ratify Appointment of Independent Auditors | Management | For | For |

OFS CAPITAL CORPORATION

| | | | |
|----------------|-----------------|--------------------|-------------|
| SECURITY | 67103B100 | MEETING TYPE | Annual |
| TICKER SYMBOL | OFS | MEETING DATE | 05-Jun-2018 |
| ISIN | US67103B1008 | AGENDA | 934789201 |
| RECORD DATE | 10-Apr-2018 | HOLDING RECON DATE | 10-Apr-2018 |
| CITY / COUNTRY | / United States | VOTE DEADLINE DATE | 04-Jun-2018 |
| SEDOL(S) | | QUICK CODE | |

PROPOSED

MANAGEMENT

Edgar Filing: FIRST TRUST SPECIALTY FINANCE & FINANCIAL OPPORTUNITIES FUND - Form N-PX

| ITEM | PROPOSAL | BY | VOTE | RECOMMENDATION |
|------|--|------------|------------|----------------|
| 1. | Election of Directors 1 Marc Abrams 2 Jeffrey A. Cerny | Management | For For | For For |
| 2. | Ratify Appointment of Independent Auditors | Management | For | For |

THL CREDIT, INC.

| | | | |
|----------------|-----------------|--------------------|-------------|
| SECURITY | 872438106 | MEETING TYPE | Annual |
| TICKER SYMBOL | TCRD | MEETING DATE | 07-Jun-2018 |
| ISIN | US8724381061 | AGENDA | 934804801 |
| RECORD DATE | 17-Apr-2018 | HOLDING RECON DATE | 17-Apr-2018 |
| CITY / COUNTRY | / United States | VOTE DEADLINE DATE | 06-Jun-2018 |
| SEDOL(S) | | QUICK CODE | |

| ITEM | PROPOSAL | PROPOSED BY | VOTE | MANAGEMENT RECOMMENDATION |
|------|---|-------------|--|--|
| 1. | Election of Directors 1 Christopher J. Flynn 2 E. P. Giambastiani, Jr. 3 Nancy Hawthorne 4 James D. Kern 5 Deborah McAneny 6 Jane Musser Nelson | Management | For For For For For For | For For For For For For |
| 2. | Stock Issuance | Management | For | For |
| 3. | Approve Issuance of Warrants | Management | For | For |
| 4. | Approve Charter Amendment | Management | For | For |
| 5. | Amend Articles-Board Related | Management | For | For |
| 6. | Approve Motion to Adjourn Meeting | Management | For | For |

NEW MOUNTAIN FINANCE CORPORATION

| | | | |
|----------------|-----------------|--------------------|-------------|
| SECURITY | 647551100 | MEETING TYPE | Special |
| TICKER SYMBOL | NMFC | MEETING DATE | 08-Jun-2018 |
| ISIN | US6475511001 | AGENDA | 934827734 |
| RECORD DATE | 16-Apr-2018 | HOLDING RECON DATE | 16-Apr-2018 |
| CITY / COUNTRY | / United States | VOTE DEADLINE DATE | 07-Jun-2018 |
| SEDOL(S) | | QUICK CODE | |

| ITEM | PROPOSAL | PROPOSED BY | VOTE | MANAGEMENT RECOMMENDATION |
|------|---------------------------------|-------------|------|---------------------------|
| 1. | Miscellaneous Corporate Actions | Management | For | For |

HARVEST CAPITAL CREDIT CORPORATION

| | | | |
|----------------|-----------------|--------------------|-------------|
| SECURITY | 41753F109 | MEETING TYPE | Annual |
| TICKER SYMBOL | HCAP | MEETING DATE | 12-Jun-2018 |
| ISIN | US41753F1093 | AGENDA | 934799935 |
| RECORD DATE | 17-Apr-2018 | HOLDING RECON DATE | 17-Apr-2018 |
| CITY / COUNTRY | / United States | VOTE DEADLINE DATE | 11-Jun-2018 |

Edgar Filing: FIRST TRUST SPECIALTY FINANCE & FINANCIAL OPPORTUNITIES FUND - Form N-PX

SEDOL(S)

QUICK CODE

| ITEM | PROPOSAL | PROPOSED BY | VOTE | MANAGEMENT RECOMMENDATION |
|------|--|-------------|------|---------------------------|
| 1. | Election of Directors (Majority Voting) | Management | For | For |
| 2. | Ratify Appointment of Independent Auditors | Management | For | For |

GOLDMAN SACHS BDC, INC.

| | | | |
|----------------|-----------------|--------------------|------------|
| SECURITY | 38147U107 | MEETING TYPE | Annual |
| TICKER SYMBOL | GSD | MEETING DATE | 15-Jun-201 |
| ISIN | US38147U1079 | AGENDA | 934835539 |
| RECORD DATE | 10-May-2018 | HOLDING RECON DATE | 10-May-201 |
| CITY / COUNTRY | / United States | VOTE DEADLINE DATE | 14-Jun-201 |

SEDOL(S)

QUICK CODE

| ITEM | PROPOSAL | PROPOSED BY | VOTE | MANAGEMENT RECOMMENDATION |
|------|--|-------------|------|---------------------------|
| 1.1 | Election of Directors (Majority Voting) | Management | For | For |
| 2. | Ratify Appointment of Independent Auditors | Management | For | For |
| 3. | Miscellaneous Corporate Actions | Management | For | For |

TCP CAPITAL CORP.

| | | | |
|----------------|-----------------|--------------------|------------|
| SECURITY | 87238Q103 | MEETING TYPE | Annual |
| TICKER SYMBOL | TCPC | MEETING DATE | 19-Jun-201 |
| ISIN | US87238Q1031 | AGENDA | 934826477 |
| RECORD DATE | 20-Apr-2018 | HOLDING RECON DATE | 20-Apr-201 |
| CITY / COUNTRY | / United States | VOTE DEADLINE DATE | 18-Jun-201 |

SEDOL(S)

QUICK CODE

| ITEM | PROPOSAL | PROPOSED BY | VOTE | MANAGEMENT RECOMMENDATION |
|------|---------------------------------------|-------------|------|---------------------------|
| 1. | Election of Directors | Management | | |
| | 1 Kathleen A. Corbet | | For | For |
| | 2 Eric J. Draut | | For | For |
| | 3 M. Freddie Reiss | | For | For |
| | 4 Peter E. Schwab | | For | For |
| | 5 Brian F. Wruble | | For | For |
| | 6 Howard M. Levkowitz | | For | For |
| | 7 Rajneesh Vig | | For | For |
| 2a. | Approve Investment Advisory Agreement | Management | For | For |
| 2b. | Approve Investment Advisory Agreement | Management | For | For |
| 3. | Miscellaneous Corporate Actions | Management | For | For |
| 4. | Stock Issuance | Management | For | For |

TRIPLEPOINT VENTURE GROWTH BDC CORP.

| | | | |
|---------------|--------------|--------------|------------|
| SECURITY | 89677Y100 | MEETING TYPE | Special |
| TICKER SYMBOL | TPVG | MEETING DATE | 21-Jun-201 |
| ISIN | US89677Y1001 | AGENDA | 934837696 |

Edgar Filing: FIRST TRUST SPECIALTY FINANCE & FINANCIAL OPPORTUNITIES FUND - Form N-PX

| | | | |
|----------------|-----------------|--------------------|-------------|
| RECORD DATE | 18-May-2018 | HOLDING RECON DATE | 18-May-2018 |
| CITY / COUNTRY | / United States | VOTE DEADLINE DATE | 20-Jun-2018 |

SEDOL(S)

QUICK CODE

| ITEM | PROPOSAL | PROPOSED BY | VOTE | MANAGEMENT RECOMMENDATION |
|------|---------------------------------|-------------|------|---------------------------|
| 1. | Miscellaneous Corporate Actions | Management | For | For |

ALCENTRA CAPITAL CORPORATION

| | | | |
|----------------|-----------------|--------------------|-------------|
| SECURITY | 01374T102 | MEETING TYPE | Annual |
| TICKER SYMBOL | ABDC | MEETING DATE | 26-Jun-2018 |
| ISIN | US01374T1025 | AGENDA | 934840869 |
| RECORD DATE | 18-Apr-2018 | HOLDING RECON DATE | 18-Apr-2018 |
| CITY / COUNTRY | / United States | VOTE DEADLINE DATE | 25-Jun-2018 |

SEDOL(S)

QUICK CODE

| ITEM | PROPOSAL | PROPOSED BY | VOTE | MANAGEMENT RECOMMENDATION |
|------|--|-------------|------|---------------------------|
| 1. | Election of Directors | Management | | |
| | 1 David Scopelliti | | For | For |
| | 2 Edward Grebow | | For | For |
| 2. | Ratify Appointment of Independent Auditors | Management | For | For |
| 3. | Approve Charter Amendment | Management | For | For |

STELLUS CAPITAL INVESTMENT CORPORATION

| | | | |
|----------------|-----------------|--------------------|-------------|
| SECURITY | 858568108 | MEETING TYPE | Annual |
| TICKER SYMBOL | SCM | MEETING DATE | 28-Jun-2018 |
| ISIN | US8585681088 | AGENDA | 934814701 |
| RECORD DATE | 05-Apr-2018 | HOLDING RECON DATE | 05-Apr-2018 |
| CITY / COUNTRY | / United States | VOTE DEADLINE DATE | 27-Jun-2018 |

SEDOL(S)

QUICK CODE

| ITEM | PROPOSAL | PROPOSED BY | VOTE | MANAGEMENT RECOMMENDATION |
|------|--|-------------|------|---------------------------|
| 1. | Election of Directors | Management | | |
| | 1 Robert T. Ladd | | For | For |
| | 2 J. Tim Arnoult | | For | For |
| | 3 Paul Keglevic | | For | For |
| 2. | Stock Issuance | Management | For | For |
| 3. | Amend Articles/Charter to Reflect Changes in Capital | Management | For | For |
| 4. | Approve Motion to Adjourn Meeting | Management | For | For |

HERCULES CAPITAL INC

| | | | |
|---------------|--------------|--------------|-------------|
| SECURITY | 427096508 | MEETING TYPE | Annual |
| TICKER SYMBOL | HTGC | MEETING DATE | 28-Jun-2018 |
| ISIN | US4270965084 | AGENDA | 934846087 - |

