

FIRST TRUST SPECIALTY FINANCE & FINANCIAL OPPORTUNITIES FUND

Form N-PX

July 21, 2016

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, 2015 - June 30, 2016  
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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

MEETING DATE RANGE: 01-JUL-2015 TO 30-JUN-2016  
 SELECTED ACCOUNTS

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 HERCULES CAPITAL INC  
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SECURITY:	427096508	MEETING TYPE:	Annual
TICKER:	HTGC	MEETING DATE:	07-Jul-2015
ISIN	US4270965084	VOTE DEADLINE DATE:	06-Jul-2015
AGENDA	934222249 Management	TOTAL BALLOT SHARES:	476689
LAST VOTE DATE:	09-May-2015		

ITEM	PROPOSAL	RECOMMEN- DATION	DEFAULT VOTE	FOR
1	DIRECTOR	For	None	
	1 ALLYN C. WOODWARD, JR.			463198
	2 THOMAS J. FALLON			463198
	3 JOSEPH F. HOFFMAN			463198
	4 SUSANNE D. LYONS			463198
2	ADVISORY VOTE TO APPROVE THE COMPANY'S NAMED EXECUTIVE OFFICER COMPENSATION.	For	None	463198
3	TO APPROVE AN AMENDMENT TO THE COMPANY'S 2004 EQUITY INCENTIVE PLAN TO INCREASE THE NUMBER OF SHARES AUTHORIZED FOR ISSUANCE.	For	None	463198
4	TO AUTHORIZE THE COMPANY TO SELL OR OTHERWISE ISSUE UP TO 20% OF ITS COMMON STOCK AT A NET PRICE BELOW ITS THEN-CURRENT NET ASSET VALUE.	For	None	463198

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 APOLLO INVESTMENT CORPORATION  
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SECURITY:	03761U106	MEETING TYPE:	Annual
TICKER:	AINV	MEETING DATE:	05-Aug-2015
ISIN	US03761U1060	VOTE DEADLINE DATE:	04-Aug-2015
AGENDA	934251187 Management	TOTAL BALLOT SHARES:	573002
LAST VOTE DATE:	03-Aug-2015		

ITEM	PROPOSAL	RECOMMEN- DATION	DEFAULT VOTE	FOR
1	DIRECTOR	For	None	
	1 JOHN J. HANNAN*			495657
	2 R. RUDOLPH REINFRANK*			496563

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3 JAMES C. ZELTER\$ 496263

2 TO RATIFY THE SELECTION OF For None 514970  
 PRICEWATERHOUSECOOPERS LLP AS  
 APOLLO INVESTMENT CORPORATION'S (THE  
 "COMPANY") INDEPENDENT REGISTERED  
 PUBLIC ACCOUNTING FIRM FOR THE FISCAL  
 YEAR ENDING MARCH 31, 2016.

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 APOLLO INVESTMENT CORPORATION  
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SECURITY: 03761U106 MEETING TYPE: Special  
 TICKER: AINV MEETING DATE: 05-Aug-2015  
 ISIN US03761U1060 VOTE DEADLINE DATE: 04-Aug-2015  
 AGENDA 934252595 Management TOTAL BALLOT SHARES: 573002  
 LAST VOTE DATE: 03-Aug-2015  
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ITEM	PROPOSAL	RECOMMEN- DATION	DEFAULT VOTE	FOR
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 SUBJECT TO CERTAIN LIMITATIONS DESCRIBED IN THE ACCOMPANYING PROXY STATEMENT.	For	None	441667

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 GLADSTONE INVESTMENT CORPORATION  
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SECURITY: 376546107 MEETING TYPE: Annual  
 TICKER: GAIN MEETING DATE: 06-Aug-2015  
 ISIN US3765461070 VOTE DEADLINE DATE: 05-Aug-2015  
 AGENDA 934252103 Management TOTAL BALLOT SHARES: 201092  
 LAST VOTE DATE: 04-Aug-2015  
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ITEM	PROPOSAL	RECOMMEN- DATION	DEFAULT VOTE	FOR
1	ELECTION OF DIRECTOR: TERRY L. BRUBAKER	For	None	176371
2	ELECTION OF DIRECTOR: CAREN D. MERRICK	For	None	174004
3	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 ACCOMPANYING THIS NOTICE (INCLUDING, WITHOUT LIMITATION, THAT THE NUMBER OF SHARES ISSUED AND SOLD	For	None	152659

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PURSUANT TO SUCH AUTHORITY DOES NOT EXCEED 25% OF OUR THEN OUTSTANDING COMMON STOCK IMMEDIATELY PRIOR TO EACH SUCH SALE).

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 PENNANTPARK FLOATING RATE CAPITAL LTD.  
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SECURITY:	70806A106	MEETING TYPE:	Special
TICKER:	PFLT	MEETING DATE:	14-Aug-2015
ISIN	US70806A1060	VOTE DEADLINE DATE:	13-Aug-2015
AGENDA	934262293 Management	TOTAL BALLOT SHARES:	82377
LAST VOTE DATE:	18-Jul-2015		

ITEM	PROPOSAL	RECOMMEN- DATION	DEFAULT VOTE	FOR
1	TO CONSIDER AND VOTE UPON A PROPOSAL TO APPROVE THE ISSUANCE OF THE SHARES OF PFLT'S COMMON STOCK, \$0.001 PAR VALUE PER SHARE, OR PFLT COMMON STOCK, TO BE ISSUED PURSUANT TO THE AGREEMENT AND PLAN OF MERGER, AS SUCH AGREEMENT MAY BE AMENDED FROM TIME TO TIME, OR THE MERGER AGREEMENT, DATED AS OF APRIL 28, 2015, AMONG PFLT, MCG CAPITAL CORPORATION, OR MCG, PFLT PANAMA, LLC AND PFLT FUNDING II, LLC, EACH A WHOLLY OWNED SUBSIDIARY OF PFLT, AND PENNANTPARK INVESTMENT ADVISERS, LLC.	For	None	82012
2	TO CONSIDER AND VOTE UPON A PROPOSAL TO APPROVE THE ADJOURNMENT OF THE PFLT SPECIAL MEETING, IF NECESSARY OR APPROPRIATE, TO SOLICIT ADDITIONAL PROXIES, IF THERE ARE NOT SUFFICIENT VOTES AT THE TIME OF THE PFLT SPECIAL MEETING TO APPROVE THE FOREGOING PROPOSAL.	For	None	82012

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 PENNANTPARK FLOATING RATE CAPITAL LTD.  
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SECURITY:	70806A106	MEETING TYPE:	Special
TICKER:	PFLT	MEETING DATE:	14-Aug-2015
ISIN	US70806A1060	VOTE DEADLINE DATE:	13-Aug-2015
AGENDA	934258511 Management	TOTAL BALLOT SHARES:	82377
LAST VOTE DATE:	12-Aug-2015		

ITEM	PROPOSAL	RECOMMEN- DATION	DEFAULT VOTE	FOR
1	TO CONSIDER AND VOTE UPON A PROPOSAL TO APPROVE THE ISSUANCE OF THE SHARES OF PFLT'S COMMON STOCK, \$0.001 PAR VALUE PER SHARE, OR PFLT COMMON STOCK, TO BE ISSUED PURSUANT TO THE AGREEMENT AND PLAN OF MERGER, AS SUCH AGREEMENT MAY BE AMENDED FROM	For	None	78416

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TIME TO TIME, OR THE MERGER AGREEMENT, DATED AS OF APRIL 28, 2015, AMONG PFLT, MCG CAPITAL CORPORATION, OR MCG, PFLT PANAMA, LLC AND PFLT FUNDING II, LLC, EACH A WHOLLY OWNED SUBSIDIARY OF PFLT, AND PENNANTPARK INVESTMENT ADVISERS, LLC.

2	TO CONSIDER AND VOTE UPON A PROPOSAL TO APPROVE THE ADJOURNMENT OF THE PFLT SPECIAL MEETING, IF NECESSARY OR APPROPRIATE, TO SOLICIT ADDITIONAL PROXIES, IF THERE ARE NOT SUFFICIENT VOTES AT THE TIME OF THE PFLT SPECIAL MEETING TO APPROVE THE FOREGOING PROPOSAL.	For	None	78242
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 KCAP FINANCIAL, INC.  
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SECURITY:	48668E101	MEETING TYPE:	Special
TICKER:	KCAP	MEETING DATE:	17-Aug-2015
ISIN	US48668E1010	VOTE DEADLINE DATE:	14-Aug-2015
AGENDA	934248736 Management	TOTAL BALLOT SHARES:	378295
LAST VOTE DATE:	16-Jul-2015		

ITEM	PROPOSAL	RECOMMEN- DATION	DEFAULT VOTE	FOR
1	TO APPROVE A PROPOSAL TO AUTHORIZE THE COMPANY, WITH APPROVAL OF ITS BOARD, TO SELL SHARES OF ITS COMMON STOCK, PAR VALUE \$0.01/ SHARE, AT A PRICE BELOW CURRENT NET ASSET VALUE PER SHARE, SUB- JECT TO LIMITATIONS DESCRIBED IN THE PROXY STATEMENT INCLUDING BUT NOT LIMITED TO: THE COMPANY SHALL NOT SELL OR OTHERWISE ISSUE MORE THAN 15% OF THE COMPANY'S SHARES OF COMMON STOCK.	For	None	232610

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 SARATOGA INVESTMENT CORP  
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SECURITY:	80349A208	MEETING TYPE:	Annual
TICKER:	SAR	MEETING DATE:	30-Sep-2015
ISIN	US80349A2087	VOTE DEADLINE DATE:	29-Sep-2015
AGENDA	934270682 Management	TOTAL BALLOT SHARES:	14936
LAST VOTE DATE:	19-Aug-2015		

ITEM	PROPOSAL	RECOMMEN- DATION	DEFAULT VOTE	FOR
1	DIRECTOR 1 CHRISTIAN L. OBERBECK	For	None	14936

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2	TO APPROVE A PROPOSAL TO AUTHORIZE 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.	For	None	14936
3	TO APPROVE THE ADJOURNMENT OF THE ANNUAL MEETING, IF NECESSARY OR APPROPRIATE, TO SOLICIT ADDITIONAL PROXIES IF THERE ARE INSUFFICIENT VOTES AT THE TIME OF THE ANNUAL MEETING, TO APPROVE THE PROPOSAL TO ELECT THE DIRECTOR AND/OR THE PROPOSAL TO SELL OR ISSUE SHARES OF COMMON STOCK TO INVESTORS AT A PRICE PER ... (DUE TO SPACE LIMITS, SEE PROXY STATEMENT FOR FULL PROPOSAL).	For	None	14936

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 CM FINANCE INC.  
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SECURITY:	12574Q103	MEETING TYPE:	Annual
TICKER:	CMFN	MEETING DATE:	03-Nov-2015
ISIN	US12574Q1031	VOTE DEADLINE DATE:	02-Nov-2015
AGENDA	934282221 Management	TOTAL BALLOT SHARES:	90633
LAST VOTE DATE:	23-Sep-2015		

ITEM	PROPOSAL	RECOMMEN- DATION	DEFAULT VOTE	FOR
1	DIRECTOR 1 CHRISTOPHER E. JANSEN 2 ROBERT WAGNER	For	None	78845 78845
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 BELOW THE COMPANY'S THEN CURRENT NET ASSET VALUE PER SHARE.	For	None	78845

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 GOLUB CAPITAL BDC, INC.  
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SECURITY:	38173M102	MEETING TYPE:	Annual
TICKER:	GBDC	MEETING DATE:	02-Feb-2016
ISIN	US38173M1027	VOTE DEADLINE DATE:	01-Feb-2016
AGENDA	934313204 Management	TOTAL BALLOT SHARES:	570279
LAST VOTE DATE:	05-Feb-2016		

ITEM	PROPOSAL	RECOMMEN- DATION	DEFAULT VOTE	FOR
1	ELECTION OF CLASS III DIRECTOR: LAWRENCE E. GOLUB	For	None	514730

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2	ELECTION OF CLASS III DIRECTOR: WILLIAM M. WEBSTER IV	For	None	514730
3	TO RATIFY THE SELECTION OF ERNST & YOUNG LLP TO SERVE AS THE COMPANY'S INDEPENDENT REGISTERED PUBLIC ACCOUNTING FIRM FOR THE FISCAL YEAR ENDING SEPTEMBER 30, 2016.	For	None	514730

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PENNANTPARK FLOATING RATE CAPITAL LTD.  
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SECURITY:	70806A106	MEETING TYPE:	Annual
TICKER:	PFLT	MEETING DATE:	02-Feb-2016
ISIN	US70806A1060	VOTE DEADLINE DATE:	01-Feb-2016
AGENDA	934308823 Management	TOTAL BALLOT SHARES:	83107
LAST VOTE DATE:	05-Feb-2016		

ITEM	PROPOSAL	RECOMMEN- DATION	DEFAULT VOTE	FOR
1	DIRECTOR 1 ADAM BERNSTEIN 2 JEFFREY FLUG	For	None	82645 82645
2	TO RATIFY THE SELECTION OF RSM US LLP TO SERVE AS THE COMPANY'S INDEPENDENT REGISTERED PUBLIC ACCOUNTING FIRM FOR THE FISCAL YEAR ENDING SEPTEMBER 30, 2016.	For	None	82645

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GLADSTONE CAPITAL CORPORATION  
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SECURITY:	376535100	MEETING TYPE:	Annual
TICKER:	GLAD	MEETING DATE:	11-Feb-2016
ISIN	US3765351008	VOTE DEADLINE DATE:	10-Feb-2016
AGENDA	934313141 Management	TOTAL BALLOT SHARES:	129045
LAST VOTE DATE:	16-Dec-2015		

ITEM	PROPOSAL	RECOMMEN- DATION	DEFAULT VOTE	FOR
1	ELECTION OF DIRECTOR: PAUL W. ADELGREN	For	None	129045
2	ELECTION OF DIRECTOR: DAVID GLADSTONE	For	None	129045
3	ELECTION OF DIRECTOR: JOHN H. OUTLAND	For	None	129045
4	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 HEREIN (INCLUDING, WITHOUT LIMITATION, THAT THE NUMBER OF .. (DUE	For	None	129045

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TO SPACE LIMITS, SEE PROXY STATEMENT  
FOR FULL PROPOSAL).

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PENNANTPARK INVESTMENT CORPORATION  
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SECURITY:	708062104	MEETING TYPE:	Annual
TICKER:	PNNT	MEETING DATE:	23-Feb-2016
ISIN	US7080621045	VOTE DEADLINE DATE:	22-Feb-2016
AGENDA	934309964 Management	TOTAL BALLOT SHARES:	941452
LAST VOTE DATE:	01-Feb-2016		

ITEM	PROPOSAL	RECOMMEN- DATION	DEFAULT VOTE	FOR
1	DIRECTOR 1 ARTHUR H. PENN	For	None	711136
2	TO RATIFY THE SELECTION OF RSM US LLP TO SERVE AS THE COMPANY'S INDEPENDENT REGISTERED PUBLIC ACCOUNTING FIRM FOR THE FISCAL YEAR ENDING SEPTEMBER 30, 2016.	For	None	729725

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MEDLEY CAPITAL CORPORATION  
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SECURITY:	58503F106	MEETING TYPE:	Annual
TICKER:	MCC	MEETING DATE:	14-Mar-2016
ISIN	US58503F1066	VOTE DEADLINE DATE:	11-Mar-2016
AGENDA	934323762 Management	TOTAL BALLOT SHARES:	556921
LAST VOTE DATE:	11-Mar-2016		

ITEM	PROPOSAL	RECOMMEN- DATION	DEFAULT VOTE	FOR
1	DIRECTOR 1 MR. SETH TAUBE 2 MR. ARTHUR S. AINSBERG	For	None	494997 508831
2	TO RATIFY THE APPOINTMENT OF ERNST & YOUNG LLP AS THE INDEPENDENT REGISTERED PUBLIC ACCOUNTING FIRM FOR MEDLEY CAPITAL CORPORATION FOR THE FISCAL YEAR ENDING SEPTEMBER 30, 2016.	For	None	544906

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NEW MOUNTAIN FINANCE CORPORATION  
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SECURITY:	647551100	MEETING TYPE:	Annual
TICKER:	NMFC	MEETING DATE:	27-Apr-2016
ISIN	US6475511001	VOTE DEADLINE DATE:	26-Apr-2016
AGENDA	934337379 Management	TOTAL BALLOT SHARES:	802076
LAST VOTE DATE:	26-Apr-2016		



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ITEM	PROPOSAL	RECOMMEN- DATION	DEFAULT VOTE	FOR
1	DIRECTOR 1 ROBERT A. HAMWEE 2 ALFRED F. HURLEY, JR.	For	None	481679 453457
2	TO RATIFY THE APPOINTMENT OF DELOITTE & TOUCHE LLP TO SERVE AS NEW MOUNTAIN FINANCE CORPORATION'S INDEPENDENT REGISTERED PUBLIC ACCOUNTING FIRM FOR THE FISCAL YEAR ENDING DECEMBER 31, 2016.	For	None	484443

MAIN STREET CAPITAL CORPORATION

SECURITY:	56035L104	MEETING TYPE:	Annual
TICKER:	MAIN	MEETING DATE:	02-May-2016
ISIN	US56035L1044	VOTE DEADLINE DATE:	29-Apr-2016
AGENDA	934339171 Management	TOTAL BALLOT SHARES:	123777
LAST VOTE DATE:	29-Apr-2016		

ITEM	PROPOSAL	RECOMMEN- DATION	DEFAULT VOTE	FOR
1	ELECTION OF DIRECTOR: MICHAEL APPLING, JR.	For	None	47402
2	ELECTION OF DIRECTOR: JOSEPH E. CANON	For	None	47208
3	ELECTION OF DIRECTOR: ARTHUR L. FRENCH	For	None	47518
4	ELECTION OF DIRECTOR: J. KEVIN GRIFFIN	For	None	47775
5	ELECTION OF DIRECTOR: JOHN E. JACKSON	For	None	47611
6	ELECTION OF DIRECTOR: BRIAN E. LANE	For	None	48076
7	ELECTION OF DIRECTOR: STEPHEN B. SOLCHER	For	None	47634
8	ELECTION OF DIRECTOR: VINCENT D. FOSTER	For	None	48043
9	PROPOSAL TO RATIFY THE APPOINTMENT OF GRANT THORNTON, LLP AS OUR INDEPENDENT REGISTERED PUBLIC ACCOUNTING FIRM FOR THE YEAR ENDED DECEMBER 31, 2016.	For	None	48307

KCAP FINANCIAL, INC.

SECURITY:	48668E101	MEETING TYPE:	Annual
TICKER:	KCAP	MEETING DATE:	03-May-2016
ISIN	US48668E1010	VOTE DEADLINE DATE:	02-May-2016
AGENDA	934355050 Management	TOTAL BALLOT SHARES:	340472

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LAST VOTE DATE: 02-May-2016

ITEM	PROPOSAL	RECOMMEN- DATION	DEFAULT VOTE	FOR
1	DIRECTOR 1 C. TURNEY STEVENS 2 JOHN A. WARD III 3 DEAN C. KEHLER	For	None	306551 305931 307123
2	TO APPROVE, IN A NON-BINDING VOTE, THE COMPENSATION PAID TO THE COMPANY'S NAMED EXECUTIVE OFFICERS.	For	None	242314
3	TO RATIFY THE SELECTION OF ERNST & YOUNG LLP AS THE INDEPENDENT REGISTERED PUBLIC ACCOUNTANT OF THE YEAR ENDING DECEMBER 31, 2016.	For	None	329413

HATTERAS FINANCIAL CORP.

SECURITY:	41902R103	MEETING TYPE:	Annual
TICKER:	HTS	MEETING DATE:	04-May-2016
ISIN	US41902R1032	VOTE DEADLINE DATE:	03-May-2016
AGENDA	934355973 Management	TOTAL BALLOT SHARES:	194447
LAST VOTE DATE:	26-Mar-2016		

ITEM	PROPOSAL	RECOMMEN- DATION	DEFAULT VOTE	FOR
1	DIRECTOR 1 MICHAEL R. HOUGH 2 BENJAMIN M. HOUGH 3 DAVID W. BERSON 4 IRA G. KAWALLER 5 VICKI MCELREATH 6 JEFFREY D. MILLER 7 WILLIAM V. NUTT, JR. 8 THOMAS D. WREN	For	None	194282 194282 194282 194282 194282 194282 194282 194282
2	TO RATIFY THE APPOINTMENT OF ERNST & YOUNG LLP AS THE INDEPENDENT REGISTERED PUBLIC ACCOUNTING FIRM FOR THE YEAR ENDING DECEMBER 31, 2016.	For	None	194282
3	TO APPROVE, BY NON-BINDING VOTE, EXECUTIVE COMPENSATION.	For	None	194282

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BLACKROCK CAPITAL INVESTMENT CORPORATION

SECURITY:	092533108	MEETING TYPE:	Annual
TICKER:	BKCC	MEETING DATE:	06-May-2016
ISIN	US0925331086	VOTE DEADLINE DATE:	05-May-2016
AGENDA	934357852 Management	TOTAL BALLOT SHARES:	279785

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LAST VOTE DATE: 05-May-2016

ITEM	PROPOSAL	RECOMMEN- DATION	DEFAULT VOTE	FOR
1	DIRECTOR 1 MARK S. LIES 2 MAUREEN K. USIFER	For	None	98343 96875
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, 2016.	For	None	100092

ARES CAPITAL CORPORATION

SECURITY: 04010L103 MEETING TYPE: Annual  
 TICKER: ARCC MEETING DATE: 12-May-2016  
 ISIN US04010L1035 VOTE DEADLINE DATE: 11-May-2016  
 AGENDA 934358739 Management TOTAL BALLOT SHARES: 2578821.5088  
 LAST VOTE DATE: 11-May-2016

ITEM	PROPOSAL	RECOMMEN- DATION	DEFAULT VOTE	FOR
1	ELECTION OF DIRECTOR: R. KIPP DEVEER	For	None	720161
2	ELECTION OF DIRECTOR: DANIEL G. KELLY, JR.	For	None	726118
3	ELECTION OF DIRECTOR: ERIC B. SIEGEL	For	None	721118
4	TO RATIFY THE SELECTION OF KPMG LLP AS THE COMPANY'S INDEPENDENT REGISTERED PUBLIC ACCOUNTING FIRM FOR THE YEAR ENDING DECEMBER 31, 2016.	For	None	728734

ARES CAPITAL CORPORATION

SECURITY: 04010L103 MEETING TYPE: Special  
 TICKER: ARCC MEETING DATE: 12-May-2016  
 ISIN US04010L1035 VOTE DEADLINE DATE: 11-May-2016  
 AGENDA 934367954 Management TOTAL BALLOT SHARES: 2578821.5088  
 LAST VOTE DATE: 11-May-2016

ITEM	PROPOSAL	RECOMMEN- DATION	DEFAULT VOTE	FOR
1	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 SPECIAL MEETING OF STOCKHOLDERS ... (DUE TO SPACE LIMITS, SEE PROXY	For	None	606405

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STATEMENT FOR FULL PROPOSAL)

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 CYS INVESTMENTS, INC  
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SECURITY:	12673A108	MEETING TYPE:	Annual
TICKER:	CYS	MEETING DATE:	13-May-2016
ISIN	US12673A1088	VOTE DEADLINE DATE:	12-May-2016
AGENDA	934363920 Management	TOTAL BALLOT SHARES:	697215
LAST VOTE DATE:	31-Mar-2016		

ITEM	PROPOSAL	RECOMMEN- DATION	DEFAULT VOTE	FOR
1	DIRECTOR	For	None	
	1 KEVIN E. GRANT			696880
	2 TANYA S. BEDER			696880
	3 KAREN HAMMOND			696880
	4 JEFFREY P. HUGHES			696880
	5 STEPHEN P. JONAS			696880
	6 R.A. REDLINGSHAFFER, JR.			696880
	7 DALE A. REISS			696880
	8 JAMES A. STERN			696880
	9 DAVID A. TYSON, PHD			696880
2	ADVISORY VOTE TO APPROVE THE COMPENSATION OF THE COMPANY'S NAMED EXECUTIVE OFFICERS.	For	None	696880
3	TO CONSIDER AND ACT UPON A PROPOSAL TO RATIFY, CONFIRM AND APPROVE THE SELECTION OF DELOITTE & TOUCHE LLP AS THE COMPANY'S INDEPENDENT REGISTERED PUBLIC ACCOUNTING FIRM FOR THE FISCAL YEAR ENDING DECEMBER 31, 2016.	For	None	696880

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 ALCENTRA CAPITAL CORPORATION  
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SECURITY:	01374T102	MEETING TYPE:	Annual
TICKER:	ABDC	MEETING DATE:	16-May-2016
ISIN	US01374T1025	VOTE DEADLINE DATE:	13-May-2016
AGENDA	934397159 Management	TOTAL BALLOT SHARES:	186867
LAST VOTE DATE:	13-May-2016		

ITEM	PROPOSAL	RECOMMEN- DATION	DEFAULT VOTE	FOR
1	DIRECTOR	For	None	
	1 PAUL HATFIELD			132539
	2 DOUGLAS J. GREENLAW			131927
2	TO APPROVE A PROPOSAL TO AUTHORIZE THE COMPANY, WITH THE APPROVAL OF THE BOARD OF DIRECTORS, TO SELL OR OTHERWISE ISSUE UP TO 10% OF THE COMPANY'S OUTSTANDING COMMON STOCK AT AN OFFERING PRICE THAT IS BELOW, BUT NO MORE THAN 20% BELOW, THE	For	None	117498

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COMPANY'S THEN CURRENT NET ASSET  
VALUE PER SHARE.

3	TO APPROVE THE ADJOURNMENT OF THE ANNUAL MEETING, IF NECESSARY OR APPROPRIATE, TO SOLICIT ADDITIONAL PROXIES.	For	None	130070
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TRIPLEPOINT VENTURE GROWTH BDC CORP.  
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SECURITY:	89677Y100	MEETING TYPE:	Annual
TICKER:	TPVG	MEETING DATE:	17-May-2016
ISIN	US89677Y1001	VOTE DEADLINE DATE:	16-May-2016
AGENDA	934382324 Management	TOTAL BALLOT SHARES:	639040
LAST VOTE DATE:	16-May-2016		

ITEM	PROPOSAL	RECOMMEN- DATION	DEFAULT VOTE	FOR
1	DIRECTOR 1 GILBERT E. AHYE 2 STEVEN P. BIRD	For	None	427709 428124
2	TO RATIFY THE SELECTION OF DELOITTE & TOUCHE LLP TO SERVE AS THE COMPANY'S INDEPENDENT REGISTERED PUBLIC ACCOUNTING FIRM FOR THE FISCAL YEAR ENDING DECEMBER 31, 2016.	For	None	427160

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SAFEGUARD SCIENTIFICS, INC.  
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SECURITY:	786449207	MEETING TYPE:	Annual
TICKER:	SFE	MEETING DATE:	18-May-2016
ISIN	US7864492076	VOTE DEADLINE DATE:	17-May-2016
AGENDA	934368831 Management	TOTAL BALLOT SHARES:	19300
LAST VOTE DATE:	17-May-2016		

ITEM	PROPOSAL	RECOMMEN- DATION	DEFAULT VOTE	FOR
1	DIRECTOR 1 MARA G. ASPINALL 2 JULIE A. DOBSON 3 STEPHEN FISHER 4 GEORGE MACKENZIE 5 JOHN J. ROBERTS 6 ROBERT J. ROSENTHAL 7 STEPHEN T. ZARRILLI	For	None	16563 18694 18850 18699 15917 16616 18485
2	ADVISORY RESOLUTION TO APPROVE THE COMPENSATION OF THE COMPANY'S NAMED EXECUTIVE OFFICERS.	For	None	16305
3	RATIFICATION OF THE APPOINTMENT OF	For	None	19037

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KPMG LLP AS THE COMPANY'S  
INDEPENDENT REGISTERED PUBLIC  
ACCOUNTING FIRM FOR 2016.

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TCP CAPITAL CORP.  
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SECURITY:	87238Q103	MEETING TYPE:	Annual
TICKER:	TCPC	MEETING DATE:	19-May-2016
ISIN	US87238Q1031	VOTE DEADLINE DATE:	18-May-2016
AGENDA	934371066 Management	TOTAL BALLOT SHARES:	667614
LAST VOTE DATE:	18-May-2016		

ITEM	PROPOSAL	RECOMMEN- DATION	DEFAULT VOTE	FOR
1	DIRECTOR	For	None	
	1 ERIC J. DRAUT			427326
	2 FRANKLIN R. JOHNSON			410875
	3 PETER E. SCHWAB			427305
	4 BRIAN F. WRUBLE			427296
	5 HOWARD M. LEVKOWITZ			424841
	6 RAJNEESH VIG			426958
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	333901

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TPG SPECIALTY LENDING, INC.  
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SECURITY:	87265K102	MEETING TYPE:	Annual
TICKER:	TSLX	MEETING DATE:	19-May-2016
ISIN	US87265K1025	VOTE DEADLINE DATE:	18-May-2016
AGENDA	934365087 Management	TOTAL BALLOT SHARES:	324782
LAST VOTE DATE:	18-May-2016		

ITEM	PROPOSAL	RECOMMEN- DATION	DEFAULT VOTE	FOR
1	DIRECTOR	For	None	
	1 JOHN ROSS			159524
2	TO RATIFY THE SELECTION OF KPMG LLP AS THE COMPANY'S INDEPENDENT REGISTERED PUBLIC ACCOUNTING FIRM FOR THE FISCAL YEAR ENDING DECEMBER 31, 2016.	For	None	159685

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CAPSTEAD MORTGAGE CORPORATION  
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SECURITY:	14067E506	MEETING TYPE:	Annual
TICKER:	CMO	MEETING DATE:	25-May-2016
ISIN	US14067E5069	VOTE DEADLINE DATE:	24-May-2016
AGENDA	934385990 Management	TOTAL BALLOT SHARES:	110489
LAST VOTE DATE:	14-Apr-2016		

ITEM	PROPOSAL	RECOMMEN- DATION	DEFAULT VOTE	FOR
1	ELECTION OF DIRECTOR: JOHN L. "JACK" BERNARD	For	None	108500
2	ELECTION OF DIRECTOR: JACK BIEGLER	For	None	108500
3	ELECTION OF DIRECTOR: MICHELLE P. GOOLSBY	For	None	108500
4	ELECTION OF DIRECTOR: ANDREW F. JACOBS	For	None	108500
5	ELECTION OF DIRECTOR: GARY KEISER	For	None	108500
6	ELECTION OF DIRECTOR: CHRISTOPHER W. MAHOWALD	For	None	108500
7	ELECTION OF DIRECTOR: MICHAEL G. O'NEIL	For	None	108500
8	ELECTION OF DIRECTOR: MARK S. WHITING	For	None	108500
9	TO CONDUCT AN ADVISORY (NONBINDING) VOTE TO APPROVE OUR 2015 NAMED EXECUTIVE OFFICERS' COMPENSATION.	For	None	108500
10	TO APPROVE THE CAPSTEAD MORTGAGE CORPORATION THIRD AMENDED AND RESTATED INCENTIVE BONUS PLAN.	For	None	108500
11	TO RATIFY THE APPOINTMENT OF ERNST & YOUNG LLP AS OUR INDEPENDENT REGISTERED PUBLIC ACCOUNTING FIRM FOR THE FISCAL YEAR ENDING DECEMBER 31, 2016.	For	None	108500

COMPASS DIVERSIFIED HOLDINGS

SECURITY:	20451Q104	MEETING TYPE:	Annual
TICKER:	CODI	MEETING DATE:	25-May-2016
ISIN	US20451Q1040	VOTE DEADLINE DATE:	24-May-2016
AGENDA	934368223 Management	TOTAL BALLOT SHARES:	138200
LAST VOTE DATE:	16-Apr-2016		

ITEM	PROPOSAL	RECOMMEN- DATION	DEFAULT VOTE	FOR
1	DIRECTOR 1 HAROLD S. EDWARDS 2 MARK H. LAZARUS	For	None	138200 138200
2	TO APPROVE, BY NON-BINDING VOTE, THE COMPENSATION OF OUR EXECUTIVE	For	None	138200

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OFFICERS AS DISCLOSED IN THE PROXY STATEMENT.

3	TO RATIFY THE APPOINTMENT OF GRANT THORNTON LLP AS INDEPENDENT AUDITOR FOR THE FISCAL YEAR ENDING DECEMBER 31, 2016.	For	None	138200
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 TRIANGLE CAPITAL CORPORATION  
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SECURITY:	895848109	MEETING TYPE:	Annual
TICKER:	TCAP	MEETING DATE:	25-May-2016
ISIN	US8958481090	VOTE DEADLINE DATE:	24-May-2016
AGENDA	934341556 Management	TOTAL BALLOT SHARES:	415133
LAST VOTE DATE:	24-May-2016		

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ITEM	PROPOSAL	RECOMMEN- DATION	DEFAULT VOTE	FOR
1	ELECTION OF DIRECTOR: E. ASHTON POOLE	For	None	288668
2	ELECTION OF DIRECTOR: BRENT P.W. BURGESS	For	None	288577
3	ELECTION OF DIRECTOR: STEVEN C. LILLY	For	None	280691
4	ELECTION OF DIRECTOR: GARLAND S. TUCKER, III	For	None	287615
5	ELECTION OF DIRECTOR: W. MCCOMB DUNWOODY	For	None	229775
6	ELECTION OF DIRECTOR: MARK M. GAMBILL	For	None	285184
7	ELECTION OF DIRECTOR: BENJAMIN S. GOLDSTEIN	For	None	284056
8	ELECTION OF DIRECTOR: SIMON B. RICH, JR.	For	None	282232
9	ELECTION OF DIRECTOR: SHERWOOD H. SMITH, JR.	For	None	277125
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	248827

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ANNALY CAPITAL MANAGEMENT, INC.

SECURITY:	035710409	MEETING TYPE:	Annual
TICKER:	NLY	MEETING DATE:	26-May-2016
ISIN	US0357104092	VOTE DEADLINE DATE:	25-May-2016
AGENDA	934381714 Management	TOTAL BALLOT SHARES:	316964
LAST VOTE DATE:	13-Apr-2016		

ITEM	PROPOSAL	RECOMMEN- DATION	DEFAULT VOTE	FOR
1	ELECTION OF DIRECTOR: KEVIN G. KEYES	For	None	314500
2	ELECTION OF DIRECTOR: KEVIN P. BRADY	For	None	314500
3	ELECTION OF DIRECTOR: E. WAYNE NORDBERG	For	None	314500
4	ADVISORY APPROVAL OF THE COMPANY'S EXECUTIVE COMPENSATION.	For	None	314500
5	RATIFICATION OF THE APPOINTMENT OF ERNST & YOUNG LLP AS OUR INDEPENDENT REGISTERED PUBLIC ACCOUNTING FIRM FOR 2016.	For	None	314500

THL CREDIT, INC.

SECURITY:	872438106	MEETING TYPE:	Annual
TICKER:	TCRD	MEETING DATE:	02-Jun-2016
ISIN	US8724381061	VOTE DEADLINE DATE:	01-Jun-2016
AGENDA	934408483 Management	TOTAL BALLOT SHARES:	895076
LAST VOTE DATE:	28-Apr-2016		

ITEM	PROPOSAL	RECOMMEN- DATION	DEFAULT VOTE	FOR
1	DIRECTOR 1 DAVID K. DOWNES 2 CHRISTOPHER J. FLYNN 3 NANCY HAWTHORNE 4 JAMES D. KERN 5 DEBORAH MCANENY 6 DAVID P. SOUTHWELL 7 SAM W. TILLINGHAST	For	None	607618 607618 607618 607618 607618 607618 607618
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	607618
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	For	None	607618

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BE LESS THAN THE MARKET VALUE PER SHARES BUT MAY BE BELOW THE COMPANY'S THEN CURRENT NAV.

4	APPROVAL OF THE ADJOURNMENT OF THE ANNUAL MEETING, IF NECESSARY OR APPROPRIATE, TO SOLICIT ADDITIONAL PROXIES.	For	None	607618
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OFS CAPITAL CORPORATION  
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SECURITY:	67103B100	MEETING TYPE:	Annual
TICKER:	OFS	MEETING DATE:	03-Jun-2016
ISIN	US67103B1008	VOTE DEADLINE DATE:	02-Jun-2016
AGENDA	934414424 Management	TOTAL BALLOT SHARES:	363486
LAST VOTE DATE:	02-Jun-2016		

ITEM	PROPOSAL	RECOMMEN- DATION	DEFAULT VOTE	FOR
1	DIRECTOR 1 ELAINE E. HEALY	For	None	149615
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, 2016.	For	None	151013

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BLACKROCK CAPITAL INVESTMENT CORPORATION  
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SECURITY:	092533108	MEETING TYPE:	Special
TICKER:	BKCC	MEETING DATE:	06-Jun-2016
ISIN	US0925331086	VOTE DEADLINE DATE:	03-Jun-2016
AGENDA	934361205 Management	TOTAL BALLOT SHARES:	279785
LAST VOTE DATE:	02-Jun-2016		

ITEM	PROPOSAL	RECOMMEN- DATION	DEFAULT VOTE	FOR
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	76995

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SOLAR CAPITAL LTD  
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SECURITY: 83413U100 MEETING TYPE: Annual  
TICKER: SLRC MEETING DATE: 07-Jun-2016  
ISIN US83413U1007 VOTE DEADLINE DATE: 06-Jun-2016  
AGENDA 934407823 Management TOTAL BALLOT SHARES: 513602  
LAST VOTE DATE: 06-Jun-2016  
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ITEM	PROPOSAL	RECOMMEN- DATION	DEFAULT VOTE	FOR
1	DIRECTOR 1 DAVID S. WACHTER	For	None	297088
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 COMPLIANCE WITH THE CONDITIONS SET FORTH IN THE PROXY STATEMENT PERTAINING THERETO (INCLUDING, WITHOUT LIMITATION, THAT THE NUMBER OF SHARES ISSUED DOES NOT EXCEED 25% OF SOLAR CAPITAL LTD.'S THEN OUTSTANDING COMMON STOCK IMMEDIATELY PRIOR TO EACH SUCH OFFERING) .	For	None	214802

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HORIZON TECHNOLOGY FINANCE CORPORATION  
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SECURITY: 44045A102 MEETING TYPE: Annual  
TICKER: HRZN MEETING DATE: 09-Jun-2016  
ISIN US44045A1025 VOTE DEADLINE DATE: 08-Jun-2016  
AGENDA 934406009 Management TOTAL BALLOT SHARES: 179011  
LAST VOTE DATE: 08-Jun-2016  
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ITEM	PROPOSAL	RECOMMEN- DATION	DEFAULT VOTE	FOR
1	DIRECTOR 1 ROBERT D. POMEROY, JR. 2 JOSEPH J. SAVAGE	For	None	174561 174044
2	TO RATIFY THE SELECTION OF RSM US LLP (FORMERLY KNOWN AS MCGLADREY LLP) TO SERVE AS HORIZON TECHNOLOGY FINANCE CORPORATION'S INDEPENDENT REGISTERED PUBLIC ACCOUNTING FIRM FOR THE FISCAL YEAR ENDING DECEMBER 31, 2016.	For	None	175285

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HARVEST CAPITAL CREDIT CORPORATION  
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SECURITY: 41753F109 MEETING TYPE: Annual  
TICKER: HCAP MEETING DATE: 14-Jun-2016  
ISIN US41753F1093 VOTE DEADLINE DATE: 13-Jun-2016  
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AGENDA 934409168 Management TOTAL BALLOT SHARES: 16699  
 LAST VOTE DATE: 13-Jun-2016

ITEM	PROPOSAL	RECOMMEN- DATION	DEFAULT VOTE	FOR
1	ELECTION OF DIRECTOR: JOSEPH A. JOLSON	For	None	15936
2	ELECTION OF DIRECTOR: RICHARD P. BUCKANAVAGE	For	None	16492
3	TO RATIFY THE SELECTION OF PRICEWATERHOUSECOOPERS LLP TO SERVE AS THE COMPANY'S INDEPENDENT REGISTERED PUBLIC ACCOUNTING FIRM FOR THE COMPANY FOR THE FISCAL YEAR ENDING DECEMBER 31, 2016.	For	None	16609

MEDALLION FINANCIAL CORP.

SECURITY: 583928106 MEETING TYPE: Annual  
 TICKER: TAXI MEETING DATE: 17-Jun-2016  
 ISIN US5839281061 VOTE DEADLINE DATE: 16-Jun-2016  
 AGENDA 934410123 Management TOTAL BALLOT SHARES: 83353  
 LAST VOTE DATE: 16-Jun-2016

ITEM	PROPOSAL	RECOMMEN- DATION	DEFAULT VOTE	FOR
1	DIRECTOR 1 ANDREW M. MURSTEIN 2 LOWELL P. WEICKER, JR.	For	None	75902 64760
2	PROPOSAL TO RATIFY THE APPOINTMENT OF WEISERMAZARS LLP AS MEDALLION FINANCIAL CORP.'S INDEPENDENT REGISTERED PUBLIC ACCOUNTING FIRM	For	None	79503
3	PROPOSAL TO APPROVE A NON-BINDING ADVISORY RESOLUTION TO APPROVE EXECUTIVE COMPENSATION	For	None	48039

STELLUS CAPITAL INVESTMENT CORPORATION

SECURITY: 858568108 MEETING TYPE: Annual  
 TICKER: SCM MEETING DATE: 28-Jun-2016  
 ISIN US8585681088 VOTE DEADLINE DATE: 27-Jun-2016  
 AGENDA 934411632 Management TOTAL BALLOT SHARES: 386424  
 LAST VOTE DATE: 27-Jun-2016

ITEM	PROPOSAL	RECOMMEN- DATION	DEFAULT VOTE	FOR
1	DIRECTOR 1 DEAN D'ANGELO 2 WILLIAM C. REPKO	For	None	197872 185946
2	TO RATIFY THE SELECTION OF GRANT	For	None	201058

THORNTON LLP AS THE COMPANY'S  
INDEPENDENT REGISTERED PUBLIC  
ACCOUNTING FIRM FOR THE FISCAL YEAR  
ENDING DECEMBER 31, 2016.

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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.

(Registrant)

FIRST TRUST SPECIALTY FINANCE  
AND FINANCIAL OPPORTUNITIES FUND  
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By (Signature and Title)\* /s/ James M. Dykas  
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James M. Dykas, President and  
Chief Executive Officer

Date

July 21, 2016  
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\* Print the name and title of each signing officer under his or her signature.