

FIRST TRUST SPECIALTY FINANCE & FINANCIAL OPPORTUNITIES FUND

Form N-PX

July 22, 2013

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, 2012 - June 30, 2013  
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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

COMPANY NAME	MEETING DATE	CUSIP
APOLLO INVESTMENT CORPORATION	5-SEP-12	03761U-106
VOTE	MANAGEMENT FOR / AGAINST	PROPOSALS AT "ANNUAL MEETING OF SHAREHOLDER
Echo Voted -- For	For	1) Elect Directors:
Echo Voted -- For	For	1.1) JOHN J. HANNAN
Echo Voted -- For	For	1.2) JAMES C. ZELTER
Echo Voted -- For	For	1.3) ASHOK N. BAKHRU
Echo Voted -- For	For	2) TO RATIFY THE SELECTION OF PRICEWATERHOUSECOOPER SERVE AS THE COMPANY'S INDEPENDENT REGISTERED PUBLIC ACCOUNTING FIRM FOR THE YEAR ENDING MARCH 31, 2013.
Echo Voted -- For	For	3) TO CONSIDER AND VOTE UPON A PROPOSAL TO AUTHORIZE FLEXIBILITY FOR THE COMPANY, WITH THE APPROVAL OF THE DIRECTORS, TO SELL SHARES OF ITS COMMON STOCK (DURING 12 MONTHS) AT A PRICE BELOW ITS THEN CURRENT NET ASSET PER SHARE SUBJECT TO CERTAIN LIMITATIONS DESCRIBED AS MORE FULLY DESCRIBED IN THE PROXY STATEMENT.
COMPANY NAME	MEETING DATE	CUSIP
SARATOGA INVESTMENT CORP.	28-SEP-12	80349A-208
VOTE	MANAGEMENT FOR / AGAINST	PROPOSALS AT "ANNUAL MEETING OF SHAREHOLDER
Echo Voted -- For	For	1) Elect Directors:
Echo Voted -- For	For	1.1) CHRISTIAN L. OBERBECK
		2) APPROVE A PROPOSAL TO AUTHORIZE THE COMPANY TO S OTHERWISE ISSUE THE COMPANY'S COMMON STOCK AT AN OF PRICE PER SHARE TO INVESTORS THAT IS NOT LESS THAN COMPANY'S THEN CURRENT NET ASSET VALUE PER SHARE.
COMPANY NAME	MEETING DATE	CUSIP
PROSPECT CAPITAL CORPORATION	7-DEC-12	74348T-102
VOTE	FOR / AGAINST MANAGEMENT	PROPOSALS AT "ANNUAL MEETING OF SHAREHOLDER
Echo Voted -- For	For	1) Elect Directors:
Echo Voted -- For	For	1.1) ANDREW C. COOPER
Echo Voted -- For	For	1.2) M. GRIER ELIASEK
		2) TO RATIFY THE SELECTION OF BDO USA, LLP TO SERVE

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COMPANY NAME	MEETING DATE	CUSIP
FULL CIRCLE CAPITAL CORPORATION	1-FEB-13	359671-104
VOTE	FOR / AGAINST MANAGEMENT	PROPOSALS AT "ANNUAL MEETING OF SHAREHOLDER
Echo Voted -- For	For	3) TO APPROVE A PROPOSAL 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 CURRENT NET ASSET VALUE PER SHARE IN ONE OR MORE OF THE FOLLOWING CATEGORIES, SUBJECT TO CERTAIN CONDITIONS AS SET FORTH IN THE AFORESAID PROXY STATEMENT, ALL AS MORE FULLY DESCRIBED IN THE AFORESAID STATEMENT.
Echo Voted -- For	For	1) Elect Directors: 1.1) JOHN E. STUART
Echo Voted -- For	For	2) Ratify the selection of Rothstein, Kass & Company, P.C. to Issuer serve as the independent registered accounting firm.
Echo Voted -- For	For	3) TO APPROVE A PROPOSAL TO AUTHORIZE THE COMPANY, WITH APPROVAL OF ITS BOARD OF DIRECTORS, TO SELL SHARES OF ITS COMMON STOCK AT A PRICE OR PRICES BELOW THE COMPANY'S CURRENT NET ASSET VALUE PER SHARE IN ONE OR MORE OF THE FOLLOWING CATEGORIES, SUBJECT TO CERTAIN CONDITIONS AS SET FORTH IN THE AFORESAID PROXY STATEMENT.
COMPANY NAME	MEETING DATE	CUSIP
GOLUB CAPITAL BDC, INC.	5-FEB-13	38173M-102
VOTE	MANAGEMENT FOR / AGAINST	PROPOSALS AT "ANNUAL MEETING OF SHAREHOLDER
Echo Voted -- For	For	1) Elect Directors: 1.1) LAWRENCE E. GOLUB
Echo Voted -- For	For	1.2) WILLIAM M. WEBSTER IV
Echo Voted -- For	For	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, 2013.
COMPANY NAME	MEETING DATE	CUSIP
PENNANTPARK FLOATING RATE CAP	5-FEB-13	70806A-106
VOTE	MANAGEMENT FOR / AGAINST	PROPOSALS AT "SPECIAL MEETING OF SHAREHOLDER
Echo Voted -- For	For	1) Elect Directors: 1.1) ADAM K. BERNSTEIN
Echo Voted -- For	For	1.2) JEFFREY FLUG
Echo Voted -- For	For	1.3) MARSHALL BROZOST
Echo Voted -- For	For	1.4) SAMUEL L. KATZ
Echo Voted -- For	For	1) TO RATIFY THE SELECTION OF KPMG LLP TO SERVE AS THE COMPANY'S INDEPENDENT REGISTERED PUBLIC ACCOUNTING FIRM FOR THE FISCAL YEAR ENDING SEPTEMBER 30, 2013.
COMPANY NAME	MEETING DATE	CUSIP

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COMPANY NAME	MEETING DATE	CUSIP
MEDLEY CAPITAL CORP.	12-FEB-13	58503F-106
VOTE	MANAGEMENT FOR / AGAINST	PROPOSALS AT "ANNUAL MEETING OF SHAREHOLDER
Echo Voted -- For	For	1) Elect Directors: 1.1) SETH TAUBE
Echo Voted -- For	For	1.2) ARTHUR S. AINSBERG
Echo Voted -- For	For	2) THE RATIFICATION OF APPOINTMENT OF ERNST & YOUNG THE INDEPENDENT REGISTERED PUBLIC ACCOUNTING FIRM F MEDLEY CAPITAL CORPORATION FOR THE FISCAL YEAR ENDI SEPTEMBER 30, 2013.
Echo Voted -- For	For	3) TO APPROVE AUTHORIZATION OF MEDLEY CAPITAL CORPO WITH THE APPROVAL OF ITS BOARD OF DIRECTORS, TO SEL ITS COMMON STOCK AT A PRICE OR PRICES BELOW MEDLEY CORPORATION'S THEN CURRENT NET ASSET VALUE PER SHAR MORE OFFERINGS, SUBJECT TO CERTAIN CONDITIONS AS SE THE PROXY STATEMENT, ALL AS MORE FULLY DESCRIBED IN PROXY STATEMENT.
COMPANY NAME	MEETING DATE	CUSIP
GLADSTONE CAPITAL CORPORATION	14-FEB-13	376535-100
VOTE	MANAGEMENT FOR / AGAINST	PROPOSALS AT "ANNUAL MEETING OF SHAREHOLDER
Echo Voted -- For	For	1) Elect Directors: 1.1) DAVID GLADSTONE
Echo Voted -- For	For	1.2) PAUL ADELGREN
Echo Voted -- For	For	1.3) JOHN OUTLAND
Echo Voted -- For	For	2) TO APPROVE A PROPOSAL TO AUTHORIZE US, WITH THE OUR BOARD OF DIRECTORS, TO ISSUE AND SELL SHARES OF STOCK (DURING THE NEXT 12 MONTHS) AT A PRICE BELOW CURRENT NET ASSET VALUE PER SHARE, ALL AS MORE FULL DESCRIBED IN THE PROXY STATEMENT.
COMPANY NAME	MEETING DATE	CUSIP
PENNANTPARK FLOATING RATE CAP	26-FEB-13	70806A-106
VOTE	MANAGEMENT FOR / AGAINST	PROPOSALS AT "ANNUAL MEETING OF SHAREHOLDER
Echo Voted -- For	For	1) TO CONSIDER AND VOTE UPON A PROPOSAL TO AUTHORIZ FLEXIBILITY FOR THE COMPANY, WITH THE APPROVAL OF THE COMPANY'S BOARD OF DIRECTORS, TO SELL SHARES OF COMPANY'S COMMON STOCK, DURING THE NEXT 12 MONTHS, PRICE BELOW THE THEN-CURRENT NET ASSET VALUE PER SH SUBJECT TO CERTAIN LIMITATIONS DESCRIBED IN THE JOI PROXY STATEMENT.
COMPANY NAME	MEETING DATE	CUSIP
PENNANTPARK INVESTMENT CORPORATION	26-FEB-13	708062-104
VOTE	MANAGEMENT FOR / AGAINST	PROPOSALS AT "ANNUAL MEETING OF SHAREHOLDER

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Echo Voted -- For	For	1) Elect Directors:
Echo Voted -- For	For	1.1) ARTHUR H. PENN
		2) TO RATIFY THE SELECTION OF KPMG LLP TO SERVE AS COMPANY'S INDEPENDENT REGISTERED PUBLIC ACCOUNTING THE FISCAL YEAR ENDING SEPTEMBER 30, 2013.

COMPANY NAME	MEETING DATE	CUSIP
PENNANTPARK INVESTMENT CORPORATION	26-FEB-13	708062-104

VOTE	MANAGEMENT FOR / AGAINST	PROPOSALS AT "ANNUAL MEETING OF SHAREHOLDER
Echo Voted -- For	For	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 COMPANY'S COMMON STOCK, DURING THE NEXT 12 MONTHS, PRICE BELOW THE THEN-CURRENT NET ASSET VALUE PER SHARE SUBJECT TO CERTAIN LIMITATIONS DESCRIBED IN THE JOINT PROXY STATEMENT.

COMPANY NAME	MEETING DATE	CUSIP
FIFTH STREET FINANCE CORP.	14-MAR-13	31678A-103

VOTE	MANAGEMENT FOR / AGAINST	PROPOSALS AT "ANNUAL MEETING OF SHAREHOLDER
Echo Voted -- For	For	1) Elect Directors:
Echo Voted -- For	For	1.1) RICHARD P. DUTKIEWICZ
Echo Voted -- For	For	1.2) FRANK C. MEYER
Echo Voted -- For	For	1.3) DOUGLAS F. RAY
		2) TO RATIFY THE APPOINTMENT OF PRICEWATERHOUSECOOPERS TO SERVE AS THE COMPANY'S INDEPENDENT REGISTERED PUBLIC ACCOUNTING FIRM FOR THE COMPANY FOR THE FISCAL YEAR ENDING SEPTEMBER 30, 2013.
Echo Voted -- For	For	3) TO APPROVE AN AMENDMENT TO THE RESTATED CERTIFICATE OF INCORPORATION OF THE COMPANY TO INCREASE THE NUMBER OF AUTHORIZED SHARES OF COMMON STOCK.

COMPANY NAME	MEETING DATE	CUSIP
MVC CAPITAL, INC.	3-APR-13	553829-102

VOTE	MANAGEMENT FOR / AGAINST	PROPOSALS AT "ANNUAL MEETING OF SHAREHOLDER
Echo Voted -- For	For	1) Elect Directors:
Echo Voted -- For	For	1.1) EMILIO DOMINIANNI
Echo Voted -- For	For	1.2) PHILLIP GOLDSTEIN
Echo Voted -- For	For	1.3) GERALD HELLERMAN
Echo Voted -- For	For	1.4) WARREN HOLTSBERG
Echo Voted -- For	For	1.5) ROBERT KNAPP
Echo Voted -- For	For	1.6) WILLIAM TAYLOR
Echo Voted -- For	For	1.7) MICHAEL TOKARZ
Echo Voted -- For	For	2) TO RATIFY THE SELECTION OF ERNST & YOUNG LLP AS INDEPENDENT REGISTERED PUBLIC ACCOUNTING FIRM FOR THE FISCAL YEAR ENDING SEPTEMBER 30, 2013.

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COMPANY NAME	MEETING DATE	CUSIP
MEDLEY CAPITAL CORP.	4-APR-13	58503F-106
VOTE	MANAGEMENT FOR / AGAINST	PROPOSALS AT "ANNUAL MEETING OF SHAREHOLDER
Echo Voted -- For	For	1) Elect Directors:
Echo Voted -- For	For	1.1) SETH TAUBE
Echo Voted -- For	For	1.2) ARTHUR S. AINSBERG
Echo Voted -- For	For	2) THE RATIFICATION OF APPOINTMENT OF ERNST & YOUNG INDEPENDENT REGISTERED PUBLIC ACCOUNTING FIRM FOR MEDLEY CAPITAL CORPORATION FOR THE FISCAL YEAR ENDING SEPTEMBER 2013.
Echo Voted -- For	For	3) TO APPROVE AUTHORIZATION OF MEDLEY CAPITAL CORPORATION WITH THE APPROVAL OF ITS BOARD OF DIRECTORS, TO SELL UP TO 10% OF ITS COMMON STOCK AT A PRICE OR PRICES BELOW MEDLEY CAPITAL CORPORATION'S THEN CURRENT NET ASSET VALUE PER SHARE OR MORE OFFERINGS, SUBJECT TO CERTAIN CONDITIONS AS SET FORTH IN THE PROXY STATEMENT, ALL AS MORE FULLY DESCRIBED IN THE PROXY STATEMENT.

COMPANY NAME	MEETING DATE	CUSIP
AMERICAN CAPITAL, LTD.	26-APR-13	02503Y-103
VOTE	MANAGEMENT FOR / AGAINST	PROPOSALS AT "ANNUAL MEETING OF SHAREHOLDER
Echo Voted -- For	For	1) Elect Directors:
Echo Voted -- For	For	1.1) MARY C. BASKIN
Echo Voted -- For	For	1.2) NEIL M. HAHN
Echo Voted -- For	For	1.3) PHILIP R. HARPER
Echo Voted -- For	For	1.4) JOHN A. KOSKINEN
Echo Voted -- For	For	1.5) STAN LUNDINE
Echo Voted -- For	For	1.6) KENNETH D. PETERSON
Echo Voted -- For	For	1.7) ALVIN N. PURYEAR
Echo Voted -- For	For	1.8) MALON WILKUS
Echo Voted -- For	For	2) RATIFICATION OF THE APPOINTMENT OF ERNST & YOUNG TO SERVE AS OUR INDEPENDENT PUBLIC ACCOUNTANT FOR THE FISCAL YEAR ENDING DECEMBER 31, 2013.

COMPANY NAME	MEETING DATE	CUSIP
SOLAR CAPITAL LTD.	30-APR-13	83413U-100
VOTE	MANAGEMENT FOR / AGAINST	PROPOSALS AT "ANNUAL MEETING OF SHAREHOLDER
For	For	1) Elect Directors:
For	For	1.1) DAVID S. WACHTER
		2) TO APPROVE A PROPOSAL TO AUTHORIZE SOLAR CAPITAL LTD. TO SELL UP TO 10% 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.

COMPANY NAME	MEETING DATE	CUSIP
SOLAR SENIOR CAPITAL	30-APR-13	83416M-105

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LTD.

VOTE

MANAGEMENT  
FOR / AGAINST

PROPOSALS AT "ANNUAL MEETING OF SHAREHOLDER

For  
For  
For

For  
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For

1) Elect Directors:  
1.1) BRUCE SPOHLER  
1.2) STEVEN HOCHBERG  
2) TO APPROVE A PROPOSAL TO AUTHORIZE SOLAR SENIOR LTD. TO SELL SHARES OF ITS COMMON STOCK AT A PRICE BELOW SOLAR SENIOR CAPITAL LTD.'S THEN CURRENT NET 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.

COMPANY NAME	MEETING DATE	CUSIP
TCP CAPITAL CORP.	1-MAY-13	87238Q-103

VOTE

MANAGEMENT  
FOR / AGAINST

PROPOSALS AT "ANNUAL MEETING OF SHAREHOLDER

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For

1) Elect Directors:  
1.1) ERIC J. DRAUT  
1.2) FRANKLIN R. JOHNSON  
1.3) PETER E. SCHWAB  
1.4) HOWARD M. LEVKOWITZ  
1.5) RAJNEESH VIG  
1.6) ERIC J. DRAUT - B  
1.7) FRANKLIN R. JOHNSON - B  
1.8) PETER E. SCHWAB - B  
1.9) HOWARD M. LEVKOWITZ- B  
1.10) RAJNEESH VIG - B  
2) TO AUTHORIZE THE COMPANY, WITH APPROVAL OF ITS BOARD OF DIRECTORS, TO SELL SHARES OF COMPANY'S COMMON STOCK 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, ALL AS FULLY DESCRIBED IN THE PROXY STATEMENT.  
3) TO AUTHORIZE THE COMPANY, WITH APPROVAL OF ITS BOARD OF DIRECTORS, TO ISSUE WARRANTS, OPTIONS AND OTHER RIGHTS TO SUBSCRIBE FOR, CONVERT TO, OR PURCHASE SHARES OF THE COMPANY'S COMMON STOCK IN ONE OR MORE OFFERINGS.

COMPANY NAME	MEETING DATE	CUSIP
KCAP FINANCIAL, INC.	6-MAY-13	48668E-101

VOTE

MANAGEMENT  
FOR / AGAINST

PROPOSALS AT "ANNUAL MEETING OF SHAREHOLDER

Echo Voted -- For  
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For

1) Elect Directors:  
1.1) C. TURNEY STEVENS  
1.2) JOHN A. WARD III  
1.3) DEAN C. KEHLER  
2) TO APPROVE, IN A NON-BINDING VOTE, THE COMPENSATION OF THE COMPANY'S NAMED EXECUTIVE OFFICERS.  
3) TO RATIFY THE SELECTION OF GRANT THORNTON LLP AS AN INDEPENDENT REGISTERED PUBLIC ACCOUNTANT OF THE COMPANY FOR THE FISCAL YEAR ENDING DECEMBER 31, 2013.

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COMPANY NAME	MEETING DATE	CUSIP
NEW MOUNTAIN FINANCE CORPORATION	6-MAY-13	647551-100
VOTE	MANAGEMENT FOR / AGAINST	PROPOSALS AT "ANNUAL MEETING OF SHAREHOLDER
Echo Voted -- For	For	1) Elect Directors:
Echo Voted -- For	For	1.1) ROBERT A. HAMWEE
		1.2) ALFRED F. HURLEY, JR.

COMPANY NAME	MEETING DATE	CUSIP
TRIANGLE CAPITAL CORPORATION	8-MAY-13	895848-109
VOTE	MANAGEMENT FOR / AGAINST	PROPOSALS AT "ANNUAL MEETING OF SHAREHOLDER
Echo Voted -- For	For	1.1) Elect Garland Tucker, III (Chairman, CEO, & Pr director
Echo Voted -- For	For	1.2) Elect Brent Burgess as director
Echo Voted -- For	For	1.3) Elect Stephen Lilly as director
Echo Voted -- For	For	1.4) Elect W. McComb Dunwoody as director
Echo Voted -- For	For	1.5) Elect Mark Gambill as director
Echo Voted -- For	For	1.6) Elect Benjamin Goldstein as director
Echo Voted -- For	For	1.7) Elect Simon Rich, Jr. as director
Echo Voted -- For	For	1.8) Elect Sherwood Smith, Jr. as director
Echo Voted -- For	For	2) TO APPROVE A PROPOSAL TO AUTHORIZE THE COMPANY, APPROVAL OF ITS BOARD OF DIRECTORS, TO SELL SHARES COMMON STOCK OR WARRANTS, OPTIONS OR RIGHTS TO ACQU COMMON STOCK DURING THE NEXT YEAR AT A PRICE BELOW COMPANY'S THEN CURRENT NET ASSET VALUE (I.E., BOOK PER SHARE, SUBJECT TO CERTAIN CONDITIONS.
Echo Voted -- For	For	3) TO APPROVE A PROPOSAL TO AMEND THE AMOUNT OF THE GRANT OF SHARES OF OUR COMMON STOCK TO NON- EMPLOYE UNDER THE EQUITY INCENTIVE PLAN.
Echo Voted -- For	For	4) TO APPROVE THE BUSINESS CRITERIA FOR AWARDS PURS SECTION 162(M) OF THE INTERNAL REVENUE CODE OF 1986

COMPANY NAME	MEETING DATE	CUSIP
BLACKROCK KELSO CAPITAL CORPORATION	9-MAY-13	092533-108
VOTE	MANAGEMENT FOR / AGAINST	PROPOSALS AT "SPECIAL MEETING OF SHAREHOLDER
Echo Voted -- For	For	1) TO AUTHORIZE FLEXIBILITY FOR THE COMPANY, WITH A ITS BOARD OF DIRECTORS, TO SELL OR OTHERWISE ISSUE ITS COMMON STOCK AT A PRICE BELOW THE COMPANY'S THE NET ASSET VALUE PER SHARE IN ONE OR MORE OFFERINGS, MORE FULLY DESCRIBED IN THE PROXY STATEMENT.

COMPANY NAME	MEETING DATE	CUSIP
BLACKROCK KELSO CAPITAL CORPORATION	9-MAY-13	092533-108
VOTE	MANAGEMENT FOR / AGAINST	PROPOSALS AT "ANNUAL MEETING OF SHAREHOLDER

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Echo Voted -- For	For	1.1) JAMES R. MAHER
Echo Voted -- For	For	1.2) MAUREEN K. USIFER
Echo Voted -- For	For	2) TO RATIFY THE SELECTION OF DELOITTE & TOUCHE LLP AS THE COMPANY'S INDEPENDENT REGISTERED PUBLIC ACCOUNTING FIRM FOR THE YEAR ENDING DECEMBER 31, 2013.

COMPANY NAME	MEETING DATE	CUSIP
CYS INVESTMENTS, INC.	10-MAY-13	12673A-108
VOTE	MANAGEMENT FOR / AGAINST	PROPOSALS AT "ANNUAL MEETING OF SHAREHOLDERS"
Echo Voted -- For	For	1.1) Elect Kevin Grant as director
Echo Voted -- For	For	1.2) Elect Tanya Beder as director
Echo Voted -- For	For	1.3) Elect Douglas Crocker, II as director
Echo Voted -- For	For	1.4) Elect Jeffrey Hughes as director
Echo Voted -- For	For	1.5) Elect Stephen Jonas as director
Echo Voted -- For	For	1.6) Elect R.A. Redlingshafer as director
Echo Voted -- For	For	1.7) Elect James Stern as director
Echo Voted -- For	For	1.8) Elect David Tyson, Ph.D as director
Echo Voted -- For	For	2) APPROVAL OF THE COMPANY'S 2013 EQUITY INCENTIVE PLAN
Echo Voted -- For	For	3) ADVISORY VOTE TO APPROVE THE COMPENSATION OF THE NAMED EXECUTIVE OFFICERS
Echo Voted -- For	For	4) 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 YEAR ENDING DECEMBER 31, 2013

COMPANY NAME	MEETING DATE	CUSIP
NGP CAPITAL RESOURCES COMPANY	15-MAY-13	62912R-107
VOTE	MANAGEMENT FOR / AGAINST	PROPOSALS AT "ANNUAL MEETING OF SHAREHOLDERS"
Echo Voted -- For	For	1) Elect Directors:
Echo Voted -- For	For	1.1) KENNETH A. HERSH
Echo Voted -- For	For	1.2) WILLIAM K. WHITE
		2) TO RATIFY THE SELECTION OF ERNST & YOUNG LLP AS THE COMPANY'S INDEPENDENT REGISTERED PUBLIC ACCOUNTING FIRM FOR THE FISCAL YEAR ENDING DECEMBER 31, 2013.

COMPANY NAME	MEETING DATE	CUSIP
HATTERAS FINANCIAL CORP.	21-MAY-13	41902R-103
VOTE	MANAGEMENT FOR / AGAINST	PROPOSALS AT "ANNUAL MEETING OF SHAREHOLDERS"
Echo Voted -- For	For	1.1) Elect Michael Hough (Chairman & CEO) as director
Echo Voted -- For	For	1.2) Elect Benjamin Hough (President & COO) as director
Echo Voted -- For	For	1.3) Elect David Berson as director
Echo Voted -- For	For	1.4) Elect Ira Kawaller as director
Echo Voted -- For	For	1.5) Elect Jeffrey Miller as director
Echo Voted -- For	For	1.6) Elect Thomas Wren as director
Echo Voted -- For	For	2) Ratify the selection of Ernst & Young LLP as the independent registered public accounting firm.
Echo Voted -- For	For	3) TO APPROVE, BY NON-BINDING VOTE, EXECUTIVE COMPENSATION

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Echo Voted -- Against

Against

4) SHAREHOLDER PROPOSAL REGARDING MAJORITY VOTING IN ELECTIONS.

COMPANY NAME	MEETING DATE	CUSIP
ANNALY CAPITAL MANAGEMENT, INC.	23-MAY-13	035710-409
VOTE	MANAGEMENT FOR / AGAINST	PROPOSALS AT "ANNUAL MEETING OF SHAREHOLDER
Echo Voted -- For	For	Elect Directors:
Echo Voted -- For	For	1) KEVIN P. BRADY
Echo Voted -- For	For	2) E. WAYNE NORDBERG
Echo Voted -- For	For	3) KEVIN G. KEYES
Echo Voted -- For	For	4) JOHN H. SCHAEFER
Echo Voted -- For	For	5) THE MANAGEMENT EXTERNALIZATION PROPOSAL TO APPROVE ENTERING INTO A MANAGEMENT AGREEMENT WITH THE MANAGEMENT
Echo Voted -- For	For	6) THE PROPOSAL TO APPROVE A NON-BINDING ADVISORY REPORT ON EXECUTIVE COMPENSATION.
Echo Voted -- For	For	7) RATIFICATION OF THE APPOINTMENT OF ERNST & YOUNG INDEPENDENT REGISTERED PUBLIC ACCOUNTING FIRM FOR THE FISCAL YEAR FOR THE 2013 FISCAL YEAR.

COMPANY NAME	MEETING DATE	CUSIP
COMPASS DIVERSIFIED HOLDINGS	29-MAY-13	20451Q-104
VOTE	MANAGEMENT FOR / AGAINST	PROPOSALS AT "ANNUAL MEETING OF SHAREHOLDER
For	For	1.1) Elect HAROLD S. EDWARDS as director
For	For	1.2) Elect MARK H. LAZARUS as director
For	For	2) TO APPROVE, BY NON-BINDING VOTE, THE COMPENSATION OF EXECUTIVE OFFICERS AS DISCLOSED IN THE PROXY STATEMENT
For	For	4) TO RATIFY THE APPOINTMENT OF GRANT THORNTON LLP INDEPENDENT AUDITOR.

COMPANY NAME	MEETING DATE	CUSIP
HERCULES TECHNOLOGY GROWTH CAPITAL, INC.	29-MAY-13	427096-508
VOTE	MANAGEMENT FOR / AGAINST	PROPOSALS AT "ANNUAL MEETING OF SHAREHOLDER
For	For	Elect Directors:
For	For	1) MANUEL A. HENRIQUEZ
For	For	2) Ratify the selection of PwC (PricewaterhouseCoopers) as the independent registered public accounting firm.
For	For	3) Approve, on an advisory basis, the compensation of executive officers.
For	For	4) TO APPROVE A PROPOSAL TO AUTHORIZE THE COMPANY, TO OBTAIN APPROVAL OF THE COMPANY'S BOARD OF DIRECTORS, TO SECURELY OTHERWISE ISSUE UP TO 20% OF THE COMPANY'S OUTSTANDING COMMON STOCK AT A NET PRICE BELOW THE COMPANY'S THEORETICAL CURRENT NET ASSET VALUE PER SHARE.
For	For	5) AUTHORIZE THE COMPANY, WITH THE APPROVAL OF THE BOARD OF DIRECTORS, 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

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CONVERTIBLE DEBT ARE ISSUED, WILL NOT BE LESS THAN MARKET VALUE PER SHARE BUT MAY BE BELOW THE COMPANY'S THEN CURRENT NET ASSET VALUE PER SHARE.

COMPANY NAME	MEETING DATE	CUSIP
MCG CAPITAL CORPORATION	29-MAY-13	58047P-107
VOTE	MANAGEMENT FOR / AGAINST	PROPOSALS AT "ANNUAL MEETING OF SHAREHOLDERS"
For	For	Elect Directors:
For	For	1) KIM D. KELLY
For	For	2) RICHARD W. NEU
		3) THE RATIFICATION OF THE SELECTION BY THE AUDIT COMMITTEE OF OUR BOARD OF DIRECTORS OF ERNST & YOUNG LLP AS OUR REGISTERED PUBLIC ACCOUNTING FIRM FOR THE YEAR ENDING DECEMBER 31, 2013.
For	For	4) ADVISORY VOTE TO APPROVE THE COMPENSATION OF OUR EXECUTIVE OFFICERS.

COMPANY NAME	MEETING DATE	CUSIP
ARES CAPITAL CORPORATION	4-JUN-13	04010L-103
VOTE	MANAGEMENT FOR / AGAINST	PROPOSALS AT "ANNUAL MEETING OF SHAREHOLDERS"
Echo Voted -- For	For	1) ELECTION OF CLASS III DIRECTOR FOR A TERM OF THREE YEARS EXPIRING IN 2016: FRANK E. O'BRYAN
Echo Voted -- For	For	2) ELECTION OF CLASS III DIRECTOR FOR A TERM OF THREE YEARS EXPIRING IN 2016: ANTONY P. RESSLER
Echo Voted -- For	For	3) ELECTION OF CLASS III DIRECTOR FOR A TERM OF THREE YEARS EXPIRING IN 2016: ERIC B. SIEGEL
Echo Voted -- For	For	4) TO RATIFY THE SELECTION OF KPMG LLP AS THE COMPANY'S INDEPENDENT REGISTERED PUBLIC ACCOUNTING FIRM FOR THE YEAR ENDING DECEMBER 31, 2013.
Echo Voted -- For	For	5) TO AUTHORIZE THE COMPANY, WITH THE APPROVAL OF A MAJORITY OF DIRECTORS, TO SELL OR OTHERWISE ISSUE SHARES OF COMMON STOCK AT A PRICE BELOW ITS THEN CURRENT NET ASSET VALUE PER SHARE SUBJECT TO THE LIMITATIONS SET FORTH IN THE PROPOSAL STATEMENT FOR THE 2013 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).

COMPANY NAME	MEETING DATE	CUSIP
OFC CAPITAL CORPORATION	4-JUN-13	67103B-100
VOTE	MANAGEMENT FOR / AGAINST	PROPOSALS AT "ANNUAL MEETING OF SHAREHOLDERS"
Echo Voted -- For	For	Elect Directors:
Echo Voted -- For	For	1) ELAINE E. HEALY
		2) TO RATIFY THE SELECTION OF MCGLADREY LLP AS THE COMPANY'S INDEPENDENT REGISTERED PUBLIC ACCOUNTING FIRM FOR THE YEAR ENDING DECEMBER 31, 2013.

COMPANY NAME	MEETING DATE	CUSIP
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FIDUS INVESTMENT CORP.

5-JUN-13

316500-107

VOTE	MANAGEMENT FOR / AGAINST	PROPOSALS AT "ANNUAL MEETING OF SHAREHOLDER
Echo Voted -- For	For	Elect Directors:
Echo Voted -- For	For	1) JOHN A. MAZZARINO
Echo Voted -- For	For	2) THOMAS C. LAUER
		3) TO APPROVE A PROPOSAL TO AUTHORIZE THE COMPANY, TO APPROVAL OF THE BOARD OF DIRECTORS OF THE COMPAN OR OTHERWISE ISSUE SHARES OF ITS COMMON STOCK DURIN YEAR AT A PRICE BELOW THE COMPANY'S THEN CURRENT NE VALUE PER SHARE, SUBJECT TO CERTAIN CONDITIONS AS S IN THE PROXY STATEMENT, ALL AS MORE FULLY DESCRIBED PROXY STATEMENT.

COMPANY NAME	MEETING DATE	CUSIP
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THL CREDIT, INC.	10-JUN-13	872438-106

VOTE	MANAGEMENT FOR / AGAINST	PROPOSALS AT "ANNUAL MEETING OF SHAREHOLDER
Echo Voted -- For	For	Elect Directors:
Echo Voted -- For	For	1) DAVID K. DOWNES
Echo Voted -- For	For	2) NANCY HAWTHORNE
Echo Voted -- For	For	3) KEITH W. HUGHES
Echo Voted -- For	For	4) JAMES K. HUNT
Echo Voted -- For	For	5) JOHN A. SOMMERS
Echo Voted -- For	For	6) DAVID P. SOUTHWELL
Echo Voted -- For	For	2) APPROVAL OF A PROPOSAL TO AUTHORIZE THE COMPANY OTHERWISE ISSUE UP TO 25% OF THE COMPANY'S OUTSTAND STOCK AT A PRICE BELOW THE COMPANY'S THEN CURRENT N
Echo Voted -- For	For	3) APPROVAL OF A PROPOSAL TO AUTHORIZE THE COMPANY AND ISSUE DEBT WITH WARRANTS OR DEBT CONVERTIBLE IN OF ITS COMMON STOCK AT AN EXERCISE OR CONVERSION PR AT THE TIME SUCH WARRANTS OR CONVERTIBLE DEBT ARE I WILL NOT BE LESS THAN THE MARKET VALUE PER SHARES B BE BELOW THE COMPANY'S THEN CURRENT NAV.

COMPANY NAME	MEETING DATE	CUSIP
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MAIN STREET CAPITAL CORPORATION	15-JUN-11	56035L-104

VOTE	MANAGEMENT FOR / AGAINST	PROPOSALS AT "ANNUAL MEETING OF SHAREHOLDER
Echo Voted -- For	For	1.1) Elect Michael Appling Jr. as director
Echo Voted -- For	For	1.2) Elect Joseph Canon as director
Echo Voted -- For	For	1.3) Elect Arthur French as director
Echo Voted -- For	For	1.4) Elect J. Kevin Griffin as director
Echo Voted -- For	For	1.5) Elect Vincent Foster (Chairman & CEO) as direc
Echo Voted -- For	For	1.6) Elect Todd Reppert (President & CFO) as direct
Echo Voted -- For	For	2) PROPOSAL TO RATIFY THE APPOINTMENT OF GRANT THOR AS OUR INDEPENDENT REGISTERED PUBLIC ACCOUNTING FIR YEAR ENDED DECEMBER 31, 2013.

COMPANY NAME	MEETING DATE	CUSIP
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HORIZON TECHNOLOGY FINANCE CORPORATION	14-JUN-13	44045A-102

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VOTE	MANAGEMENT FOR / AGAINST	PROPOSALS AT "ANNUAL MEETING OF SHAREHOLDER
Echo Voted -- For	For	Elect Directors:
Echo Voted -- For	For	1.1) CHRISTOPHER B. WOODWARD
Echo Voted -- For	For	1.2) ROBERT D. POMEROY, JR.
		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, 2013.

COMPANY NAME	MEETING DATE	CUSIP
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MEDALLION FINANCIAL CORP.	14-JUN-13	583928-106

VOTE	MANAGEMENT FOR / AGAINST	PROPOSALS AT "ANNUAL MEETING OF SHAREHOLDER
Echo Voted -- For	For	Elect Directors:
Echo Voted -- For	For	1.1) MARIO M. CUOMO
Echo Voted -- For	For	1.2) ANDREW M. MURSTEIN
Echo Voted -- For	For	1.3) LOWELL P. WEICKER, JR.
Echo Voted -- For	For	2) PROPOSAL TO RATIFY THE APPOINTMENT OF WEISERMAZAK MEDALLION FINANCIAL CORP.'S INDEPENDENT REGISTERED ACCOUNTING FIRM
Echo Voted -- For	For	3) PROPOSAL TO APPROVE A NON-BINDING ADVISORY RESOLUTION APPROVE EXECUTIVE COMPENSATION

COMPANY NAME	MEETING DATE	CUSIP
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ARES COMMERCIAL REAL ESTATE CORP.	26-JUN-13	04013V-108

VOTE	MANAGEMENT FOR / AGAINST	PROPOSALS AT "ANNUAL MEETING OF SHAREHOLDER
Echo Voted -- For	For	Elect Directors:
Echo Voted -- For	For	1.1) JOHN B. BARTLING, JR.
Echo Voted -- For	For	1.2) JEFFREY T. HINSON
Echo Voted -- For	For	1.3) TODD S. SCHUSTER
Echo Voted -- For	For	2) TO RATIFY THE SELECTION OF ERNST & YOUNG LLP AS COMPANY'S INDEPENDENT REGISTERED PUBLIC ACCOUNTING FIRM FOR THE YEAR ENDING DECEMBER 31, 2013.
Echo Voted -- For	For	3) TO APPROVE THE ISSUANCE OF THE COMPANY'S COMMON STOCK IN CONNECTION WITH THE COMPANY'S 7.000% CONVERTIBLE SENIOR PREFERRED STOCK DUE 2015 IF THE PAYMENT METHOD SELECTED BY THE COMPANY REQUIRES THE ISSUANCE OF SHARES IN EXCESS OF THE NET STOCK EXCHANGE LIMITS FOR SHARE ISSUANCES WITHOUT SPECIAL APPROVAL.
Echo Voted -- For	For	4) TO APPROVE, ON A NON-BINDING, ADVISORY BASIS, THE COMPENSATION OF THE COMPANY'S NAMED EXECUTIVE OFFICERS AS DESCRIBED IN THE ACCOMPANYING PROXY STATEMENT.
Echo Voted -- 1 year	None	5) TO APPROVE, ON A NON-BINDING, ADVISORY BASIS, THE COMPENSATION OF THE COMPANY'S NAMED EXECUTIVE OFFICERS AS DESCRIBED IN THE ACCOMPANYING PROXY STATEMENT TO BE HELD.

COMPANY NAME	MEETING DATE	CUSIP
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HORIZON TECHNOLOGY	28-JUN-13	44045A-102

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FINANCE CORPORATION

VOTE	MANAGEMENT FOR / AGAINST	PROPOSALS AT "SPECIAL MEETING OF SHAREHOLDE
Echo Voted -- For	For	1) TO AUTHORIZE THE COMPANY, WITH THE APPROVAL OF I OF DIRECTORS, IN ONE OR MORE OFFERINGS, TO SELL SHA COMMON STOCK, DURING THE NEXT 12 MONTHS, AT A PRICE BELOW THE COMPANY'S THEN CURRENT NET ASSET VALUE PE ONE OR MORE OFFERINGS, SUBJECT TO CERTAIN CONDITION FORTH IN THE PROXY STATEMENT.

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/ Mark R. Bradley  
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Mark R. Bradley, President

Date

July 22, 2013  
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\* Print the name and title of each signing officer under his or her signature.