

Edgar Filing: ELLSWORTH GROWTH & INCOME FUND LTD - Form NSAR-A

ELLSWORTH GROWTH & INCOME FUND LTD

Form NSAR-A

May 24, 2018

PAGE 1
000 A000000 03/31/2018
000 C000000 0000793040
000 D000000 N
000 E000000 NF
000 F000000 Y
000 G000000 N
000 H000000 N
000 I000000 6.1
000 J000000 A
001 A000000 Ellsworth Growth and Income Fund Ltd.
001 B000000 811-04656
001 C000000 9149215100
002 A000000 One Corporate Center
002 B000000 Rye
002 C000000 NY
002 D010000 10580
002 D020000 1422
003 000000 N
004 000000 N
005 000000 N
006 000000 N
007 A000000 N
007 B000000 0
007 C010100 1
008 A000001 GABELLI FUNDS, LLC
008 B000001 A
008 C000001 801-37706
008 D010001 RYE
008 D020001 NY
008 D030001 10580
008 D040001 1422
010 A000001 GABELLI FUNDS, LLC
010 B000001 801-37706
010 C010001 RYE
010 C020001 NY
010 C030001 10580
010 C040001 1422
010 A000002 BNY MELLON INVESTMENT SERVICING (US) INC.
010 B000002 84-01761
010 C010002 WILMINGTON
010 C020002 DE
010 C030002 19809
012 A000001 AMERICAN STOCK TRANSFER & TRUST COMPANY
012 B000001 84-00416
012 C010001 NEW YORK
012 C020001 NY
012 C030001 10038
013 A000001 PRICEWATERHOUSECOOPERS LLP
013 B010001 NEW YORK
013 B020001 NY
013 B030001 10017
PAGE 2
014 A000001 G.research, LLC
014 B000001 8-21373
014 A000002 G.distributors, LLC
014 B000002 8-68697
015 A000001 STATE STREET BANK AND TRUST COMPANY
015 B000001 C

Edgar Filing: ELLSWORTH GROWTH & INCOME FUND LTD - Form NSAR-A

015 C010001 BOSTON
015 C020001 MA
015 C030001 02110
015 E010001 X
018 000000 Y
019 A000000 Y
019 B000000 39
019 C000000 GABELLIGRP
020 A000001 COWEN & CO., LLC
020 B000001 38-3698933
020 C000001 3
020 A000002 J.P. MORGAN SECURITIES INC.
020 B000002 13-3379014
020 C000002 1
020 A000003 SIDOTI & CO., LLC
020 B000003 36-4279615
020 C000003 0
020 A000004 CONVERGEX EXECUTION SOLUTIONS LLC
020 B000004 13-3989198
020 C000004 0
020 A000005 G.RESEARCH, LLC
020 B000005 13-2885006
020 C000005 0
021 000000 4
022 A000001 BARCLAYS CAPITAL, INC.
022 B000001 06-1031656
022 C000001 9148
022 D000001 12069
022 A000002 NOMURA SECURITIES INTERNATIONAL, INC.
022 B000002 13-2642206
022 C000002 5838
022 D000002 9110
022 A000003 BMO CAPITAL MARKETS CORP.
022 B000003 13-3459853
022 C000003 159
022 D000003 6840
022 A000004 OPPENHEIMER & CO., INC.
022 B000004 13-5657518
022 C000004 4245
022 D000004 2690
022 A000005 DAIWA CAPITAL MARKETS AMERICA, INC.
022 B000005 13-5680329
022 C000005 5968
022 D000005 0
022 A000006 JPMORGAN SECURITIES LLC
PAGE 3
022 B000006 13-3299429
022 C000006 3007
022 D000006 795
022 A000007 MORGAN STANLEY & CO., LLC
022 B000007 13-2655998
022 C000007 2341
022 D000007 1147
022 A000008 CREDIT SUISSE FIRST BOSTON
022 B000008 13-1898818
022 C000008 1064
022 D000008 2067
022 A000009 SUCAMPO PHARMACEUTICALS INC.
022 C000009 0
022 D000009 3074
022 A000010 MITSUBISHI UFJ SECURITIES (USA), INC.
022 B000010 13-3498732

Edgar Filing: ELLSWORTH GROWTH & INCOME FUND LTD - Form NSAR-A

| | | |
|-----|---------|-------|
| 022 | C000010 | 1736 |
| 022 | D000010 | 1117 |
| 023 | C000000 | 44301 |
| 023 | D000000 | 41449 |
| 024 | 000000 | N |
| 025 | D000001 | 0 |
| 026 | A000000 | N |
| 026 | B000000 | Y |
| 026 | C000000 | N |
| 026 | D000000 | Y |
| 026 | E000000 | N |
| 026 | F000000 | Y |
| 026 | G010000 | N |
| 026 | G020000 | N |
| 026 | H000000 | N |
| 027 | 000000 | N |
| 028 | A010000 | 0 |
| 028 | A020000 | 0 |
| 028 | A030000 | 0 |
| 028 | A040000 | 0 |
| 028 | B010000 | 0 |
| 028 | B020000 | 0 |
| 028 | B030000 | 0 |
| 028 | B040000 | 0 |
| 028 | C010000 | 0 |
| 028 | C020000 | 0 |
| 028 | C030000 | 0 |
| 028 | C040000 | 0 |
| 028 | D010000 | 0 |
| 028 | D020000 | 0 |
| 028 | D030000 | 0 |
| 028 | D040000 | 0 |
| 028 | E010000 | 0 |
| 028 | E020000 | 0 |
| 028 | E030000 | 0 |
| | PAGE | 4 |
| 028 | E040000 | 0 |
| 028 | F010000 | 0 |
| 028 | F020000 | 0 |
| 028 | F030000 | 0 |
| 028 | F040000 | 0 |
| 028 | G010000 | 0 |
| 028 | G020000 | 0 |
| 028 | G030000 | 0 |
| 028 | G040000 | 0 |
| 028 | H000000 | 0 |
| 030 | A000000 | 0 |
| 030 | B000000 | 0.00 |
| 030 | C000000 | 0.00 |
| 031 | A000000 | 0 |
| 031 | B000000 | 0 |
| 032 | 000000 | 0 |
| 033 | 000000 | 0 |
| 035 | 000000 | 0 |
| 036 | B000000 | 0 |
| 038 | 000000 | 0 |
| 042 | A000000 | 0 |
| 042 | B000000 | 0 |
| 042 | C000000 | 0 |
| 042 | D000000 | 0 |
| 042 | E000000 | 0 |
| 042 | F000000 | 0 |

Edgar Filing: ELLSWORTH GROWTH & INCOME FUND LTD - Form NSAR-A

| | | |
|-----|---------|--------|
| 042 | G000000 | 0 |
| 042 | H000000 | 0 |
| 043 | 000000 | 0 |
| 044 | 000000 | 0 |
| 045 | 000000 | Y |
| 046 | 000000 | Y |
| 047 | 000000 | Y |
| 048 | 000000 | 0.000 |
| 048 | A010000 | 100000 |
| 048 | A020000 | 0.800 |
| 048 | B010000 | 0 |
| 048 | B020000 | 0.000 |
| 048 | C010000 | 0 |
| 048 | C020000 | 0.000 |
| 048 | D010000 | 0 |
| 048 | D020000 | 0.000 |
| 048 | E010000 | 0 |
| 048 | E020000 | 0.000 |
| 048 | F010000 | 0 |
| 048 | F020000 | 0.000 |
| 048 | G010000 | 0 |
| 048 | G020000 | 0.000 |
| 048 | H010000 | 0 |
| 048 | H020000 | 0.000 |
| 048 | I010000 | 0 |
| | PAGE | 5 |
| 048 | I020000 | 0.000 |
| 048 | J010000 | 0 |
| 048 | J020000 | 0.000 |
| 048 | K010000 | 100000 |
| 048 | K020000 | 0.550 |
| 049 | 000000 | N |
| 050 | 000000 | N |
| 051 | 000000 | N |
| 052 | 000000 | N |
| 053 | A000000 | Y |
| 053 | B000000 | Y |
| 053 | C000000 | N |
| 054 | A000000 | Y |
| 054 | B000000 | Y |
| 054 | C000000 | Y |
| 054 | D000000 | N |
| 054 | E000000 | N |
| 054 | F000000 | N |
| 054 | G000000 | N |
| 054 | H000000 | Y |
| 054 | I000000 | N |
| 054 | J000000 | Y |
| 054 | K000000 | N |
| 054 | L000000 | N |
| 054 | M000000 | Y |
| 054 | N000000 | N |
| 054 | O000000 | N |
| 055 | A000000 | N |
| 055 | B000000 | N |
| 056 | 000000 | N |
| 057 | 000000 | N |
| 058 | A000000 | N |
| 059 | 000000 | Y |
| 060 | A000000 | Y |
| 060 | B000000 | Y |
| 061 | 000000 | 0 |

Edgar Filing: ELLSWORTH GROWTH & INCOME FUND LTD - Form NSAR-A

062 A000000 N
062 B000000 0.0
062 C000000 0.0
062 D000000 0.0
062 E000000 0.0
062 F000000 0.0
062 G000000 0.0
062 H000000 0.0
062 I000000 0.0
062 J000000 0.0
062 K000000 0.0
062 L000000 0.0
062 M000000 0.0
062 N000000 0.0
062 O000000 0.0

PAGE 6

062 P000000 0.0
062 Q000000 0.0
062 R000000 0.0
063 A000000 0
063 B000000 0.0
066 A000000 Y
066 B000000 N
066 C000000 N
066 D000000 N
066 E000000 Y
066 F000000 N
066 G000000 N
067 000000 N
068 A000000 N
068 B000000 N
069 000000 N
070 A010000 Y
070 A020000 N
070 B010000 Y
070 B020000 N
070 C010000 Y
070 C020000 N
070 D010000 Y
070 D020000 N
070 E010000 N
070 E020000 N
070 F010000 N
070 F020000 N
070 G010000 N
070 G020000 N
070 H010000 Y
070 H020000 N
070 I010000 N
070 I020000 N
070 J010000 Y
070 J020000 Y
070 K010000 Y
070 K020000 N
070 L010000 Y
070 L020000 Y
070 M010000 N
070 M020000 N
070 N010000 Y
070 N020000 N
070 O010000 Y
070 O020000 N

Edgar Filing: ELLSWORTH GROWTH & INCOME FUND LTD - Form NSAR-A

| | | | |
|--------|---------|---|--------|
| 070 | P010000 | Y | |
| 070 | P020000 | N | |
| 070 | Q010000 | N | |
| 070 | Q020000 | N | |
| 070 | R010000 | Y | |
| | PAGE | 7 | |
| 070 | R020000 | N | |
| 071 | A000000 | | 31714 |
| 071 | B000000 | | 16447 |
| 071 | C000000 | | 157108 |
| 071 | D000000 | | 11 |
| 072 | A000000 | | 6 |
| 072 | B000000 | | 844 |
| 072 | C000000 | | 1289 |
| 072 | D000000 | | 0 |
| 072 | E000000 | | 0 |
| 072 | F000000 | | 574 |
| 072 | G000000 | | 0 |
| 072 | H000000 | | 34 |
| 072 | I000000 | | 12 |
| 072 | J000000 | | 5 |
| 072 | K000000 | | 0 |
| 072 | L000000 | | 33 |
| 072 | M000000 | | 61 |
| 072 | N000000 | | 0 |
| 072 | O000000 | | 0 |
| 072 | P000000 | | 0 |
| 072 | Q000000 | | 22 |
| 072 | R000000 | | 13 |
| 072 | S000000 | | 4 |
| 072 | T000000 | | 0 |
| 072 | U000000 | | 0 |
| 072 | V000000 | | 0 |
| 072 | W000000 | | 25 |
| 072 | X000000 | | 783 |
| 072 | Y000000 | | 0 |
| 072 | Z000000 | | 1350 |
| 072AA | 000000 | | 3440 |
| 072BB | 000000 | | 0 |
| 072CC0 | 10000 | | 648 |
| 072CC0 | 20000 | | 0 |
| 072DD0 | 10000 | | 1381 |
| 072DD0 | 20000 | | 0 |
| 072EE | 000000 | | 710 |
| 073 | A010000 | | 0.1100 |
| 073 | A020000 | | 0.0000 |
| 073 | B000000 | | 0.0500 |
| 073 | C000000 | | 0.0600 |
| 074 | A000000 | | 0 |
| 074 | B000000 | | 0 |
| 074 | C000000 | | 120 |
| 074 | D000000 | | 98007 |
| 074 | E000000 | | 28148 |
| 074 | F000000 | | 36558 |
| 074 | G000000 | | 0 |
| 074 | H000000 | | 0 |
| 074 | I000000 | | 0 |
| | PAGE | 8 | |
| 074 | J000000 | | 1537 |
| 074 | K000000 | | 0 |
| 074 | L000000 | | 737 |
| 074 | M000000 | | 2 |

Edgar Filing: ELLSWORTH GROWTH & INCOME FUND LTD - Form NSAR-A

| | | |
|-----------|--------------|--|
| 074 | N000000 | 165109 |
| 074 | O000000 | 0 |
| 074 | P000000 | 138 |
| 074 | Q000000 | 0 |
| 074 | R010000 | 0 |
| 074 | R020000 | 0 |
| 074 | R030000 | 0 |
| 074 | R040000 | 1575 |
| 074 | S000000 | 30000 |
| 074 | T000000 | 133396 |
| 074 | U010000 | 12935 |
| 074 | U020000 | 0 |
| 074 | V010000 | 10.31 |
| 074 | V020000 | 0.00 |
| 074 | W000000 | 0.0000 |
| 074 | X000000 | 5031 |
| 074 | Y000000 | 0 |
| 075 | A000000 | 0 |
| 075 | B000000 | 163559 |
| 076 | 000000 | 9.15 |
| 077 | A000000 | N |
| 078 | 000000 | N |
| 080 | C000000 | 0 |
| 081 | B000000 | 0 |
| 082 | B000000 | 0 |
| 083 | B000000 | 0 |
| 084 | B000000 | 0 |
| 086 | A010000 | 66 |
| 086 | A020000 | 604 |
| 086 | B010000 | 0 |
| 086 | B020000 | 0 |
| 086 | C010000 | 0 |
| 086 | C020000 | 0 |
| 086 | D010000 | 0 |
| 086 | D020000 | 0 |
| 086 | E010000 | 0 |
| 086 | E020000 | 0 |
| 086 | F010000 | 0 |
| 086 | F020000 | 0 |
| 087 | A010000 | COMMON STOCK |
| 087 | A020000 | 289074106 |
| 087 | A030000 | ECF |
| 087 | B010000 | 5.250% SERIES A CUMULATIVE PREFERRED STOCK |
| 087 | B020000 | 289074205 |
| 087 | B030000 | ECF Pr A |
| 088 | A000000 | N |
| 088 | B000000 | N |
| | PAGE | 9 |
| 088 | C000000 | N |
| 088 | D000000 | Y |
| SIGNATURE | JOHN C. BALL | |
| TITLE | TREASURER | |