

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

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, 2015 - June 30, 2016

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

 HERCULES CAPITAL INC

| | | | |
|-----------------|----------------------|----------------------|-------------|
| 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 |

 APOLLO INVESTMENT CORPORATION

| | | | |
|-----------------|----------------------|----------------------|-------------|
| 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.

 APOLLO INVESTMENT CORPORATION

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

| 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 |

 GLADSTONE INVESTMENT CORPORATION

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

| 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).

PENNANTPARK FLOATING RATE CAPITAL LTD.

| | | | |
|-----------------|----------------------|----------------------|-------------|
| 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 |

PENNANTPARK FLOATING RATE CAPITAL LTD.

| | | | |
|-----------------|----------------------|----------------------|-------------|
| 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.

| | | | |
|-----------------|----------------------|----------------------|-------------|
| 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 |

 SARATOGA INVESTMENT CORP

| | | | |
|-----------------|----------------------|----------------------|-------------|
| 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 |

CM FINANCE INC.

| | | | |
|-----------------|----------------------|----------------------|-------------|
| 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 |

GOLUB CAPITAL BDC, INC.

| | | | |
|-----------------|----------------------|----------------------|-------------|
| 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 |

PENNANTPARK FLOATING RATE CAPITAL LTD.

| | | | |
|-----------------|----------------------|----------------------|-------------|
| 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 |

GLADSTONE CAPITAL CORPORATION

| | | | |
|-----------------|----------------------|----------------------|-------------|
| 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

| | | | |
|-----------------|----------------------|----------------------|-------------|
| 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 |

MEDLEY CAPITAL CORPORATION

| | | | |
|-----------------|----------------------|----------------------|-------------|
| 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 |

NEW MOUNTAIN FINANCE CORPORATION

| | | | |
|-----------------|----------------------|----------------------|-------------|
| 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)

 CYS INVESTMENTS, INC

| | | | |
|-----------------|----------------------|----------------------|-------------|
| 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 |

 ALCENTRA CAPITAL CORPORATION

| | | | |
|-----------------|----------------------|----------------------|-------------|
| 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 |
|---|---|-----|------|--------|

TRIPLEPOINT VENTURE GROWTH BDC CORP.

| | | | |
|-----------------|----------------------|----------------------|-------------|
| 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.

| | | | |
|-----------------|----------------------|----------------------|-------------|
| 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.

TCP CAPITAL CORP.

| | | | |
|-----------------|----------------------|----------------------|-------------|
| 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 |

TPG SPECIALTY LENDING, INC.

| | | | |
|-----------------|----------------------|----------------------|-------------|
| 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 |

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

| | | | |
|-----------------|----------------------|----------------------|-------------|
| 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 | | |

| 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 |
|---|--|-----|------|--------|

OFS CAPITAL CORPORATION

| | | | |
|-----------------|----------------------|----------------------|-------------|
| 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 |

BLACKROCK CAPITAL INVESTMENT CORPORATION

| | | | |
|-----------------|----------------------|----------------------|-------------|
| 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 |

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 | | |

| 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 |

HORIZON TECHNOLOGY FINANCE CORPORATION

| | | | |
|-----------------|----------------------|----------------------|-------------|
| 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 | | |

| 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 |

HARVEST CAPITAL CREDIT CORPORATION

| | | | |
|-----------|--------------|---------------------|-------------|
| 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

By (Signature and Title)* /s/ James M. Dykas

James M. Dykas, President and
Chief Executive Officer

Date July 21, 2016

* Print the name and title of each signing officer under his or her signature.