

FIRST TRUST SPECIALTY FINANCE & FINANCIAL OPPORTUNITIES FUND

Form N-PX

July 14, 2017

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

-----  
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  
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Date of reporting period: July 1, 2016 - June 30, 2017  
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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

VOTE SUMMARY

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HERCULES CAPITAL INC  
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|                |                 |                    |                        |
|----------------|-----------------|--------------------|------------------------|
| SECURITY       | 427096508       | MEETING TYPE       | Annual                 |
| TICKER SYMBOL  | HTGC            | MEETING DATE       | 07-Jul-2016            |
| ISIN           | US4270965084    | AGENDA             | 934423079 - Management |
| RECORD DATE    | 15-Apr-2016     | HOLDING RECON DATE | 15-Apr-2016            |
| CITY / COUNTRY | / United States | VOTE DEADLINE DATE | 06-Jul-2016            |
| SEDOL(S)       |                 | QUICK CODE         |                        |

| ITEM | PROPOSAL  | PROPOSED BY | VOTE  | MANAGEMENT RECOMMENDATION |
|------|---|-------------|-------|---------------------------|
| 1A.  | ELECTION OF DIRECTOR: MANUEL A. HENRIQUEZ   | Management  | Split | For                       |
| 1B.  | ELECTION OF DIRECTOR: JOSEPH F. HOFFMAN   | Management  | Split | For                       |
| 2.   | APPROVE, ON AN ADVISORY BASIS, THE COMPANY'S NAMED EXECUTIVE OFFICER COMPENSATION.  | Management  | Split | For                       |
| 3.   | RATIFICATION OF PRICEWATERHOUSECOOPERS LLP TO SERVE AS OUR INDEPENDENT PUBLIC ACCOUNTING FIRM FOR THE FISCAL YEAR ENDING DECEMBER 31, 2016. | Management  | Split | For                       |

| ACCOUNT NUMBER | ACCOUNT NAME                     | INTERNAL ACCOUNT | CUSTODIAN  | BALLOT SHARES | UNAVAILABLE SHARES |
|----------------|----------------------------------|------------------|------------|---------------|--------------------|
| 000736386      | FT SPEC FIN & FINANCIAL OPP FUND | 000736386        | BNY MELLON | 29,198        | 0                  |

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HERCULES CAPITAL INC  
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|                |                 |                    |                        |
|----------------|-----------------|--------------------|------------------------|
| SECURITY       | 427096508       | MEETING TYPE       | Annual                 |
| TICKER SYMBOL  | HTGC            | MEETING DATE       | 07-Jul-2016            |
| ISIN           | US4270965084    | AGENDA             | 934423079 - Management |
| RECORD DATE    | 15-Apr-2016     | HOLDING RECON DATE | 15-Apr-2016            |
| CITY / COUNTRY | / United States | VOTE DEADLINE DATE | 06-Jul-2016            |
| SEDOL(S)       |                 | QUICK CODE         |                        |

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| ITEM | PROPOSAL  | PROPOSED BY | VOTE  | MANAGEMENT RECOMMENDATION |
|------|---|-------------|-------|---------------------------|
| 1A.  | ELECTION OF DIRECTOR: MANUEL A. HENRIQUEZ   | Management  | Split | For                       |
| 1B.  | ELECTION OF DIRECTOR: JOSEPH F. HOFFMAN   | Management  | Split | For                       |
| 2.   | APPROVE, ON AN ADVISORY BASIS, THE COMPANY'S NAMED EXECUTIVE OFFICER COMPENSATION.  | Management  | Split | For                       |
| 3.   | RATIFICATION OF PRICEWATERHOUSECOOPERS LLP TO SERVE AS OUR INDEPENDENT PUBLIC ACCOUNTING FIRM FOR THE FISCAL YEAR ENDING DECEMBER 31, 2016. | Management  | Split | For                       |

| ACCOUNT NUMBER | ACCOUNT NAME         | INTERNAL ACCOUNT | CUSTODIAN  | BALLOT SHARES | UNAVAILABLE SHARES |
|----------------|----------------------|------------------|------------|---------------|--------------------|
| 000736385      | FT SFFO FUND FBO BNP | 736385           | BNY MELLON | 450,000       | 0                  |

FS INVESTMENT CORPORATION

|                |                 |                    |                        |
|----------------|-----------------|--------------------|------------------------|
| SECURITY       | 302635107       | MEETING TYPE       | Annual                 |
| TICKER SYMBOL  | FSIC            | MEETING DATE       | 13-Jul-2016            |
| ISIN           | US3026351078    | AGENDA             | 934414119 - Management |
| RECORD DATE    | 20-Apr-2016     | HOLDING RECON DATE | 20-Apr-2016            |
| CITY / COUNTRY | / United States | VOTE DEADLINE DATE | 12-Jul-2016            |
| SEDOL(S)       |                 | QUICK CODE         |                        |

| ITEM | PROPOSAL   | PROPOSED BY | VOTE  | MANAGEMENT RECOMMENDATION |
|------|--|-------------|-------|---------------------------|
| 1.   | DIRECTOR   | Management  |       |                           |
|      | 1 GREGORY P. CHANDLER  |             | Split | For                       |
|      | 2 MICHAEL C. FORMAN  |             | Split | For                       |
|      | 3 BARRY H. FRANK   |             | Split | For                       |
|      | 4 MICHAEL J. HELLER  |             | Split | For                       |
| 2.   | TO AUTHORIZE FLEXIBILITY FOR THE COMPANY, WITH THE APPROVAL OF THE COMPANY'S BOARD OF DIRECTORS, TO OFFER AND SELL SHARES DURING THE 12 MONTHS FOLLOWING STOCKHOLDER APPROVAL, AT A PRICE BELOW THE THEN-CURRENT NET ASSET VALUE PER SHARE, SUBJECT TO CERTAIN LIMITATIONS DESCRIBED IN THE PROXY STATEMENT. | Management  | Split | For                       |

| ACCOUNT NUMBER | ACCOUNT NAME         | INTERNAL ACCOUNT | CUSTODIAN  | BALLOT SHARES | UNAVAILABLE SHARES |
|----------------|----------------------|------------------|------------|---------------|--------------------|
| 000736385      | FT SFFO FUND FBO BNP | 736385           | BNY MELLON | 195,000       | 0                  |

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APOLLO INVESTMENT CORPORATION

|                |                 |                    |                        |
|----------------|-----------------|--------------------|------------------------|
| SECURITY       | 03761U106       | MEETING TYPE       | Annual                 |
| TICKER SYMBOL  | AINV            | MEETING DATE       | 04-Aug-2016            |
| ISIN           | US03761U1060    | AGENDA             | 934452789 - Management |
| RECORD DATE    | 10-Jun-2016     | HOLDING RECON DATE | 10-Jun-2016            |
| CITY / COUNTRY | / United States | VOTE DEADLINE DATE | 03-Aug-2016            |
| SEDOL(S)       |                 | QUICK CODE         |                        |

| ITEM | PROPOSAL   | PROPOSED BY | VOTE | MANAGEMENT RECOMMENDATION |
|------|--|-------------|------|---------------------------|
| 1.   | DIRECTOR   | Management  |      |                           |
|      | 1 ELLIOT STEIN, JR.  |             | For  | For                       |
|      | 2 BRADLEY J. WECHSLER  |             | For  | For                       |
|      | 3 JAMES C. ZELTER  |             | For  | For                       |
| 2.   | TO CONSIDER AND VOTE UPON RATIFYING THE SELECTION OF PRICEWATERHOUSECOOPERS LLP TO SERVE AS APOLLO INVESTMENT CORPORATION'S INDEPENDENT REGISTERED PUBLIC ACCOUNTING FIRM FOR THE FISCAL YEAR ENDING MARCH 31, 2017. | Management  | For  | For                       |

| ACCOUNT NUMBER | ACCOUNT NAME                     | INTERNAL ACCOUNT | CUSTODIAN  | BALLOT SHARES | UNAVAILABLE SHARES |
|----------------|----------------------------------|------------------|------------|---------------|--------------------|
| 000736385      | FT SFFO FUND FBO BNP             | 736385           | BNY MELLON | 414,045       | 0                  |
| 000736386      | FT SPEC FIN & FINANCIAL OPP FUND | 000736386        | BNY MELLON | 137,057       | 0                  |

APOLLO INVESTMENT CORPORATION

|                |                 |                    |                        |
|----------------|-----------------|--------------------|------------------------|
| SECURITY       | 03761U106       | MEETING TYPE       | Special                |
| TICKER SYMBOL  | AINV            | MEETING DATE       | 04-Aug-2016            |
| ISIN           | US03761U1060    | AGENDA             | 934453197 - Management |
| RECORD DATE    | 10-Jun-2016     | HOLDING RECON DATE | 10-Jun-2016            |
| CITY / COUNTRY | / United States | VOTE DEADLINE DATE | 03-Aug-2016            |
| SEDOL(S)       |                 | QUICK CODE         |                        |

| ITEM | PROPOSAL   | PROPOSED BY | VOTE | MANAGEMENT RECOMMENDATION |
|------|--|-------------|------|---------------------------|
| 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 A PRICE BELOW ITS THEN CURRENT NET ASSET VALUE PER SHARE SUBJECT TO CERTAIN LIMITATIONS DESCRIBED IN THE ACCOMPANYING PROXY STATEMENT (INCLUDING THAT THE CUMULATIVE NUMBER OF SHARES SOLD PURSUANT TO SUCH AUTHORITY | Management  | For  | For                       |

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

| ACCOUNT NUMBER | ACCOUNT NAME                        | INTERNAL ACCOUNT | CUSTODIAN  | BALLOT SHARES | UNAVAILABLE SHARES |
|----------------|-------------------------------------|------------------|------------|---------------|--------------------|
| 000736385      | FT SFFO FUND FBO BNP                | 736385           | BNY MELLON | 414,045       | 0                  |
| 000736386      | FT SPEC FIN &<br>FINANCIAL OPP FUND | 000736386        | BNY MELLON | 137,057       | 0                  |

GLADSTONE INVESTMENT CORPORATION

|                |                 |                    |                        |
|----------------|-----------------|--------------------|------------------------|
| SECURITY       | 376546107       | MEETING TYPE       | Annual                 |
| TICKER SYMBOL  | GAIN            | MEETING DATE       | 04-Aug-2016            |
| ISIN           | US3765461070    | AGENDA             | 934452777 - Management |
| RECORD DATE    | 06-Jun-2016     | HOLDING RECON DATE | 06-Jun-2016            |
| CITY / COUNTRY | / United States | VOTE DEADLINE DATE | 03-Aug-2016            |
| SEDOL(S)       |                 | QUICK CODE         |                        |

| ITEM | PROPOSAL   | PROPOSED BY | VOTE | MANAGEMENT RECOMMENDATION |
|------|--|-------------|------|---------------------------|
| 1.   | DIRECTOR   | Management  |      |                           |
|      | 1 PAUL W. ADELGREN   |             | For  | For                       |
|      | 2 DAVID GLADSTONE  |             | For  | For                       |
|      | 3 JOHN H. OUTLAND  |             | For  | For                       |
| 2.   | 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 ACCOMPANY PROXY STATEMENT. | Management  | For  | For                       |

| ACCOUNT NUMBER | ACCOUNT NAME                        | INTERNAL ACCOUNT | CUSTODIAN  | BALLOT SHARES | UNAVAILABLE SHARES |
|----------------|-------------------------------------|------------------|------------|---------------|--------------------|
| 000736386      | FT SPEC FIN &<br>FINANCIAL OPP FUND | 000736386        | BNY MELLON | 142,533       | 0                  |

GOLDMAN SACHS BDC, INC.

|                |                 |                    |                        |
|----------------|-----------------|--------------------|------------------------|
| SECURITY       | 38147U107       | MEETING TYPE       | Annual                 |
| TICKER SYMBOL  | GSBD            | MEETING DATE       | 29-Sep-2016            |
| ISIN           | US38147U1079    | AGENDA             | 934387362 - Management |
| RECORD DATE    | 04-Apr-2016     | HOLDING RECON DATE | 04-Apr-2016            |
| CITY / COUNTRY | / United States | VOTE DEADLINE DATE | 28-Sep-2016            |
| SEDOL(S)       |                 | QUICK CODE         |                        |

PROPOSED

MANAGEMENT

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| ITEM | PROPOSAL  | BY         | VOTE  | RECOMMEND |
|------|---|------------|-------|-----------|
| 1A.  | ELECTION OF CLASS II DIRECTOR:<br>JAIME ARDILA  | Management | Split | For       |
| 1B.  | ELECTION OF CLASS II DIRECTOR:<br>RICHARD P. STRUBEL  | Management | Split | For       |
| 1C.  | ELECTION OF CLASS II DIRECTOR:<br>KATHERINE ("KAYSIE") UNIACKE  | Management | Split | For       |
| 2.   | TO AUTHORIZE THE COMPANY, WITH THE APPROVAL OF THE COMPANY'S BOARD OF DIRECTORS, TO SELL OR OTHERWISE ISSUE SHARES OF THE COMPANY'S COMMON STOCK (DURING THE 12 MONTHS FOLLOWING SUCH AUTHORIZATION) AT A PRICE BELOW THE THEN-CURRENT NET ASSET VALUE PER SHARE, PROVIDED THAT THE NUMBER OF SHARES ISSUED DOES NOT EXCEED 25% OF THE COMPANY'S THEN-OUTSTANDING COMMON STOCK. | Management | Split | For       |

| ACCOUNT NUMBER | ACCOUNT NAME                        | INTERNAL ACCOUNT | CUSTODIAN  | BALLOT SHARES | UNAVAILABLE SHARES |
|----------------|-------------------------------------|------------------|------------|---------------|--------------------|
| 000736386      | FT SPEC FIN &<br>FINANCIAL OPP FUND | 000736386        | BNY MELLON | 33,000        | 0                  |

GOLDMAN SACHS BDC, INC.

|                |                 |                    |                        |
|----------------|-----------------|--------------------|------------------------|
| SECURITY       | 38147U107       | MEETING TYPE       | Annual                 |
| TICKER SYMBOL  | GSBD            | MEETING DATE       | 29-Sep-2016            |
| ISIN           | US38147U1079    | AGENDA             | 934387362 - Management |
| RECORD DATE    | 04-Apr-2016     | HOLDING RECON DATE | 04-Apr-2016            |
| CITY / COUNTRY | / United States | VOTE DEADLINE DATE | 28-Sep-2016            |
| SEDOL(S)       |                 | QUICK CODE         |                        |

| ITEM | PROPOSAL  | PROPOSED BY | VOTE  | MANAGEMENT RECOMMEND |
|------|---|-------------|-------|----------------------|
| 1A.  | ELECTION OF CLASS II DIRECTOR:<br>JAIME ARDILA  | Management  | Split | For                  |
| 1B.  | ELECTION OF CLASS II DIRECTOR:<br>RICHARD P. STRUBEL  | Management  | Split | For                  |
| 1C.  | ELECTION OF CLASS II DIRECTOR:<br>KATHERINE ("KAYSIE") UNIACKE  | Management  | Split | For                  |
| 2.   | TO AUTHORIZE THE COMPANY, WITH THE APPROVAL OF THE COMPANY'S BOARD OF DIRECTORS, TO SELL OR OTHERWISE ISSUE SHARES OF THE COMPANY'S COMMON STOCK (DURING THE 12 MONTHS FOLLOWING SUCH AUTHORIZATION) AT A PRICE BELOW | Management  | Split | For                  |

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THE THEN-CURRENT NET ASSET  
VALUE PER SHARE, PROVIDED THAT  
THE NUMBER OF SHARES ISSUED  
DOES NOT EXCEED 25% OF THE  
COMPANY'S THEN-OUTSTANDING  
COMMON STOCK.

| ACCOUNT NUMBER | ACCOUNT NAME         | INTERNAL ACCOUNT | CUSTODIAN  | BALLOT SHARES | UNAVAILABLE SHARES |
|----------------|----------------------|------------------|------------|---------------|--------------------|
| 000736385      | FT SFFO FUND FBO BNP | 736385           | BNY MELLON | 22,255        | 0                  |

COMPASS DIVERSIFIED HOLDINGS

|                |                 |                    |                        |
|----------------|-----------------|--------------------|------------------------|
| SECURITY       | 20451Q104       | MEETING TYPE       | Special                |
| TICKER SYMBOL  | CODI            | MEETING DATE       | 30-Nov-2016            |
| ISIN           | US20451Q1040    | AGENDA             | 934493228 - Management |
| RECORD DATE    | 13-Oct-2016     | HOLDING RECON DATE | 13-Oct-2016            |
| CITY / COUNTRY | / United States | VOTE DEADLINE DATE | 29-Nov-2016            |
| SEDOL(S)       |                 | QUICK CODE         |                        |

| ITEM | PROPOSAL  | PROPOSED BY | VOTE | MANAGEMENT RECOMMENDATION |
|------|---|-------------|------|---------------------------|
| 1.   | TO APPROVE AMENDMENTS TO THE AMENDED AND RESTATED TRUST AGREEMENT, AS AMENDED TO DATE (THE "TRUST AGREEMENT"), OF COMPASS DIVERSIFIED HOLDINGS TO AUTHORIZE THE BOARD OF DIRECTORS OF COMPASS GROUP DIVERSIFIED HOLDINGS LLC (THE "COMPANY") TO CREATE CLASSES OR SERIES OF, AND TO ISSUE UP ... (DUE TO SPACE LIMITS, SEE PROXY STATEMENT FOR FULL PROPOSAL) .           | Management  | For  | For                       |
| 2.   | TO APPROVE AMENDMENTS TO THE FOURTH AMENDED AND RESTATED OPERATING AGREEMENT (THE "LLC AGREEMENT") OF THE COMPANY TO AUTHORIZE THE BOARD OF DIRECTORS OF THE COMPANY TO CREATE CLASSES OR SERIES OF, AND TO ISSUE UP TO 50,000,000, TRUST PREFERRED INTERESTS IN THE COMPANY WITH SUCH TERMS AS MAY BE ... (DUE TO SPACE LIMITS, SEE PROXY STATEMENT FOR FULL PROPOSAL) . | Management  | For  | For                       |
| 3.   | TO ADJOURN THE SPECIAL MEETING, IF NECESSARY OR APPROPRIATE, TO ESTABLISH A QUORUM OR TO PERMIT FURTHER SOLICITATION OF PROXIES IF THERE ARE NOT SUFFICIENT VOTES AT THE TIME OF THE SPECIAL MEETING CAST IN FAVOR OF PROPOSAL 1 OR PROPOSAL 2.   | Management  | For  | For                       |

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| ACCOUNT NUMBER | ACCOUNT NAME                     | INTERNAL ACCOUNT | CUSTODIAN  | BALLOT SHARES | UNAVAILABLE SHARES |
|----------------|----------------------------------|------------------|------------|---------------|--------------------|
| 000736386      | FT SPEC FIN & FINANCIAL OPP FUND | 000736386        | BNY MELLON | 88,200        | 0                  |

AMERICAN CAPITAL, LTD.

|                |                 |                    |                        |
|----------------|-----------------|--------------------|------------------------|
| SECURITY       | 02503Y103       | MEETING TYPE       | Annual                 |
| TICKER SYMBOL  | ACAS            | MEETING DATE       | 15-Dec-2016            |
| ISIN           | US02503Y1038    | AGENDA             | 934495246 - Management |
| RECORD DATE    | 17-Oct-2016     | HOLDING RECON DATE | 17-Oct-2016            |
| CITY / COUNTRY | / United States | VOTE DEADLINE DATE | 14-Dec-2016            |
| SEDOL(S)       |                 | QUICK CODE         |                        |

| ITEM | PROPOSAL  | PROPOSED BY | VOTE | MANAGEMENT RECOMMENDATION |
|------|---|-------------|------|---------------------------|
| 1.   | ADOPTION OF THE MERGER AGREEMENT.   | Management  | For  | For                       |
| 2.   | APPROVAL, ON AN ADVISORY, NON-BINDING BASIS, OF THE PAYMENT OF CERTAIN COMPENSATION THAT WILL OR MAY BECOME PAYABLE TO AMERICAN CAPITAL'S NAMED EXECUTIVE OFFICERS PURSUANT TO THEIR EMPLOYMENT AND OTHER ARRANGEMENTS WITH AMERICAN CAPITAL AND THE MERGER AGREEMENT, IN CONNECTION WITH THE COMPLETION OF THE MERGERS AND OTHER TRANSACTIONS AS CONTEMPLATED THEREIN. | Management  | For  | For                       |
| 3.   | APPROVAL OF ANY ADJOURNMENTS OF THE AMERICAN CAPITAL ANNUAL MEETING FOR THE PURPOSE OF SOLICITING ADDITIONAL PROXIES IF THERE ARE NOT SUFFICIENT VOTES AT THE TIME OF THE MEETING TO ADOPT THE MERGER AGREEMENT.  | Management  | For  | For                       |
| 4A.  | ELECTION OF DIRECTOR TO SERVE UNTIL THE EARLIER OF THE EXPIRATION OF A ONE-YEAR TERM AND THE COMPLETION OF THE TRANSACTIONS: MARY C. BASKIN   | Management  | For  | For                       |
| 4B.  | ELECTION OF DIRECTOR TO SERVE UNTIL THE EARLIER OF THE EXPIRATION OF A ONE-YEAR TERM AND THE COMPLETION OF THE TRANSACTIONS: NEIL M. HAHN   | Management  | For  | For                       |
| 4C.  | ELECTION OF DIRECTOR TO SERVE UNTIL THE EARLIER OF THE EXPIRATION OF A ONE-YEAR TERM  | Management  | For  | For                       |



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AND THE COMPLETION OF THE  
TRANSACTIONS: PHILIP R. HARPER

|     |  |            |     |     |
|-----|--|------------|-----|-----|
| 4D. | ELECTION OF DIRECTOR TO SERVE UNTIL THE EARLIER OF THE EXPIRATION OF A ONE-YEAR TERM AND THE COMPLETION OF THE TRANSACTIONS: STAN LUNDINE                | Management | For | For |
| 4E. | ELECTION OF DIRECTOR TO SERVE UNTIL THE EARLIER OF THE EXPIRATION OF A ONE-YEAR TERM AND THE COMPLETION OF THE TRANSACTIONS: KRISTEN L. MANOS            | Management | For | For |
| 4F. | ELECTION OF DIRECTOR TO SERVE UNTIL THE EARLIER OF THE EXPIRATION OF A ONE-YEAR TERM AND THE COMPLETION OF THE TRANSACTIONS: SUSAN K. NESTEGARD          | Management | For | For |
| 4G. | ELECTION OF DIRECTOR TO SERVE UNTIL THE EARLIER OF THE EXPIRATION OF A ONE-YEAR TERM AND THE COMPLETION OF THE TRANSACTIONS: KENNETH D. PETERSON, JR.    | Management | For | For |
| 4H. | ELECTION OF DIRECTOR TO SERVE UNTIL THE EARLIER OF THE EXPIRATION OF A ONE-YEAR TERM AND THE COMPLETION OF THE TRANSACTIONS: ALVIN N. PURYEAR            | Management | For | For |
| 4I. | ELECTION OF DIRECTOR TO SERVE UNTIL THE EARLIER OF THE EXPIRATION OF A ONE-YEAR TERM AND THE COMPLETION OF THE TRANSACTIONS: MALON WILKUS                | Management | For | For |
| 4J. | ELECTION OF DIRECTOR TO SERVE UNTIL THE EARLIER OF THE EXPIRATION OF A ONE-YEAR TERM AND THE COMPLETION OF THE TRANSACTIONS: DAVID G. RICHARDS           | Management | For | For |
| 5.  | RATIFICATION OF THE APPOINTMENT OF ERNST & YOUNG LLP TO SERVE AS AMERICAN CAPITAL'S INDEPENDENT PUBLIC ACCOUNTANT FOR THE YEAR ENDING DECEMBER 31, 2016. | Management | For | For |

| ACCOUNT NUMBER | ACCOUNT NAME         | INTERNAL ACCOUNT | CUSTODIAN  | BALLOT SHARES | UNAVAILABLE SHARES |
|----------------|----------------------|------------------|------------|---------------|--------------------|
| 000736385      | FT SFFO FUND FBO BNP | 736385           | BNY MELLON | 204,200       | 0                  |

ARES CAPITAL CORPORATION

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|                |                 |                    |                        |
|----------------|-----------------|--------------------|------------------------|
| SECURITY       | 04010L103       | MEETING TYPE       | Special                |
| TICKER SYMBOL  | ARCC            | MEETING DATE       | 15-Dec-2016            |
| ISIN           | US04010L1035    | AGENDA             | 934494864 - Management |
| RECORD DATE    | 17-Oct-2016     | HOLDING RECON DATE | 17-Oct-2016            |
| CITY / COUNTRY | / United States | VOTE DEADLINE DATE | 14-Dec-2016            |
| SEDOL (S)      |                 | QUICK CODE         |                        |

| ITEM | PROPOSAL   | PROPOSED BY | VOTE | MANAGEMENT RECOMMENDATION |
|------|--|-------------|------|---------------------------|
| 1.   | TO APPROVE THE ISSUANCE OF THE SHARES OF ARES CAPITAL COMMON STOCK TO BE ISSUED PURSUANT TO THE AGREEMENT AND PLAN OF MERGER, AS SUCH AGREEMENT MAY BE AMENDED FROM TIME TO TIME, DATED AS OF MAY 23, 2016 (THE "MERGER AGREEMENT"), BY AND AMONG ARES CAPITAL, AMERICAN CAPITAL, LTD., ORION ACQUISITION SUB, INC., IVY HILL ASSET MANAGEMENT, L.P. ("IHAM"), IVY HILL ASSET MANAGEMENT GP, LLC, IN ITS CAPACITY AS GENERAL PARTNER OF IHAM, AMERICAN CAPITAL ASSET MANAGEMENT, LLC, AND SOLELY FOR THE ... (DUE TO SPACE LIMITS, SEE PROXY STATEMENT FOR FULL PROPOSAL). | Management  | For  | For                       |
| 2.   | TO APPROVE THE ISSUANCE OF THE SHARES OF ARES CAPITAL COMMON STOCK TO BE ISSUED PURSUANT TO THE MERGER AGREEMENT IN ACCORDANCE WITH NASDAQ LISTING RULE REQUIREMENTS.  | Management  | For  | For                       |
| 3.   | TO APPROVE THE ADJOURNMENT OF THE ARES CAPITAL SPECIAL MEETING, IF NECESSARY OR APPROPRIATE, TO SOLICIT ADDITIONAL PROXIES IF THERE ARE NOT SUFFICIENT VOTES AT THE TIME OF THE ARES CAPITAL SPECIAL MEETING TO APPROVE PROPOSAL 1 OR PROPOSAL 2.  | Management  | For  | For                       |

| ACCOUNT NUMBER | ACCOUNT NAME                     | INTERNAL ACCOUNT | CUSTODIAN  | BALLOT SHARES | UNAVAILABLE SHARES |
|----------------|----------------------------------|------------------|------------|---------------|--------------------|
| 000736385      | FT SFFO FUND FBO BNP             | 736385           | BNY MELLON | 500,000       | 0                  |
| 000736386      | FT SPEC FIN & FINANCIAL OPP FUND | 000736386        | BNY MELLON | 347,412       | 0                  |

CM FINANCE INC.

|               |              |                    |                        |
|---------------|--------------|--------------------|------------------------|
| SECURITY      | 12574Q103    | MEETING TYPE       | Annual                 |
| TICKER SYMBOL | CMFN         | MEETING DATE       | 15-Dec-2016            |
| ISIN          | US12574Q1031 | AGENDA             | 934482718 - Management |
| RECORD DATE   | 08-Sep-2016  | HOLDING RECON DATE | 08-Sep-2016            |

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CITY / COUNTRY / United States VOTE DEADLINE DATE 14-Dec-2016  
 SEDOL(S) QUICK CODE

| ITEM | PROPOSAL  | PROPOSED BY | VOTE       | MANAGEMENT RECOMMENDATION |
|------|---|-------------|------------|---------------------------|
| 1    | DIRECTOR<br>1 MICHAEL C. MAUER<br>2 ROBERT RYDER  | Management  | For<br>For | For<br>For                |
| 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 IS BELOW THE COMPANY'S THEN CURRENT NET ASSET VALUE PER SHARE. | Management  | For        | For                       |

| ACCOUNT NUMBER | ACCOUNT NAME                     | INTERNAL ACCOUNT | CUSTODIAN  | BALLOT SHARES | UNAVAILABLE SHARES |
|----------------|----------------------------------|------------------|------------|---------------|--------------------|
| 000736385      | FT SFFO FUND FBO BNP             | 736385           | BNY MELLON | 80,000        | 0                  |
| 000736386      | FT SPEC FIN & FINANCIAL OPP FUND | 000736386        | BNY MELLON | 23,945        | 0                  |

GOLUB CAPITAL BDC, INC.

SECURITY 38173M102 MEETING TYPE Annual  
 TICKER SYMBOL GBDC MEETING DATE 07-Feb-2017  
 ISIN US38173M1027 AGENDA 934516557 - Management  
 RECORD DATE 12-Dec-2016 HOLDING RECON DATE 12-Dec-2016  
 CITY / COUNTRY / United States VOTE DEADLINE DATE 06-Feb-2017  
 SEDOL(S) QUICK CODE

| ITEM | PROPOSAL  | PROPOSED BY | VOTE | MANAGEMENT RECOMMENDATION |
|------|---|-------------|------|---------------------------|
| 1.1  | ELECTION OF CLASS I DIRECTOR: DAVID B. GOLUB  | Management  | For  | For                       |
| 1.2  | ELECTION OF CLASS I DIRECTOR: ANITA R. ROSENBERG  | Management  | For  | For                       |
| 2.   | 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, 2017. | Management  | For  | For                       |

| ACCOUNT NUMBER | ACCOUNT NAME                     | INTERNAL ACCOUNT | CUSTODIAN  | BALLOT SHARES | UNAVAILABLE SHARES |
|----------------|----------------------------------|------------------|------------|---------------|--------------------|
| 000736385      | FT SFFO FUND FBO BNP             | 736385           | BNY MELLON | 400,000       | 0                  |
| 000736386      | FT SPEC FIN & FINANCIAL OPP FUND | 000736386        | BNY MELLON | 114,730       | 0                  |

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-----  
PENNANTPARK FLOATING RATE CAPITAL LTD.  
-----

|                |                 |                    |                        |
|----------------|-----------------|--------------------|------------------------|
| SECURITY       | 70806A106       | MEETING TYPE       | Annual                 |
| TICKER SYMBOL  | PFLT            | MEETING DATE       | 07-Feb-2017            |
| ISIN           | US70806A1060    | AGENDA             | 934514969 - Management |
| RECORD DATE    | 30-Nov-2016     | HOLDING RECON DATE | 30-Nov-2016            |
| CITY / COUNTRY | / United States | VOTE DEADLINE DATE | 06-Feb-2017            |
| SEDOL(S)       |                 | QUICK CODE         |                        |

| ITEM | PROPOSAL   | PROPOSED BY | VOTE | MANAGEMENT RECOMMENDATION |
|------|--|-------------|------|---------------------------|
| 1.   | DIRECTOR<br>1 ARTHUR H. PENN   | Management  | For  | For                       |
| 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, 2017. | Management  | For  | For                       |

| ACCOUNT NUMBER | ACCOUNT NAME         | INTERNAL ACCOUNT | CUSTODIAN  | BALLOT SHARES | UNAVAILABLE SHARES |
|----------------|----------------------|------------------|------------|---------------|--------------------|
| 000736385      | FT SFFO FUND FBO BNP | 736385           | BNY MELLON | 82,645        | 0                  |

-----  
MEDLEY CAPITAL CORPORATION  
-----

|                |                 |                    |                        |
|----------------|-----------------|--------------------|------------------------|
| SECURITY       | 58503F106       | MEETING TYPE       | Annual                 |
| TICKER SYMBOL  | MCC             | MEETING DATE       | 14-Feb-2017            |
| ISIN           | US58503F1066    | AGENDA             | 934518955 - Management |
| RECORD DATE    | 20-Dec-2016     | HOLDING RECON DATE | 20-Dec-2016            |
| CITY / COUNTRY | / United States | VOTE DEADLINE DATE | 13-Feb-2017            |
| SEDOL(S)       |                 | QUICK CODE         |                        |

| ITEM | PROPOSAL  | PROPOSED BY | VOTE              | MANAGEMENT RECOMMENDATION |
|------|---|-------------|-------------------|---------------------------|
| 1.   | DIRECTOR<br>1 MR. BROOK TAUBE<br>2 MS. KARIN H.GARVEY<br>3 MR. JOHN E. MACK   | Management  | For<br>For<br>For | For<br>For<br>For         |
| 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, 2017. | Management  | For               | For                       |

| ACCOUNT NUMBER | ACCOUNT NAME         | INTERNAL ACCOUNT | CUSTODIAN  | BALLOT SHARES | UNAVAILABLE SHARES |
|----------------|----------------------|------------------|------------|---------------|--------------------|
| 000736385      | FT SFFO FUND FBO BNP | 736385           | BNY MELLON | 556,714       | 0                  |
| 000736386      | FT SPEC FIN &        | 000736386        | BNY MELLON | 30,000        | 0                  |

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FINANCIAL OPP FUND

-----  
PENNANTPARK INVESTMENT CORPORATION  
-----

|                |                 |                    |                        |
|----------------|-----------------|--------------------|------------------------|
| SECURITY       | 708062104       | MEETING TYPE       | Annual                 |
| TICKER SYMBOL  | PNNT            | MEETING DATE       | 28-Feb-2017            |
| ISIN           | US7080621045    | AGENDA             | 934514971 - Management |
| RECORD DATE    | 30-Nov-2016     | HOLDING RECON DATE | 30-Nov-2016            |
| CITY / COUNTRY | / United States | VOTE DEADLINE DATE | 27-Feb-2017            |
| SEDOL(S)       |                 | QUICK CODE         |                        |

| ITEM | PROPOSAL   | PROPOSED BY | VOTE | MANAGEMENT RECOMMENDATION |
|------|--|-------------|------|---------------------------|
| 1.   | DIRECTOR   | Management  |      |                           |
|      | 1 MR. MARSHALL BROZOST   |             | For  | For                       |
|      | 2 MR. SAMUEL L. KATZ   |             | For  | For                       |
| 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, 2017. | Management  | For  | For                       |

| ACCOUNT NUMBER | ACCOUNT NAME                     | INTERNAL ACCOUNT | CUSTODIAN  | BALLOT SHARES | UNAVAILABLE SHARES |
|----------------|----------------------------------|------------------|------------|---------------|--------------------|
| 000736385      | FT SFFO FUND FBO BNP             | 736385           | BNY MELLON | 519,501       | 0                  |
| 000736386      | FT SPEC FIN & FINANCIAL OPP FUND | 000736386        | BNY MELLON | 225,580       | 0                  |

-----  
NEW MOUNTAIN FINANCE CORPORATION  
-----

|                |                 |                    |                        |
|----------------|-----------------|--------------------|------------------------|
| SECURITY       | 647551100       | MEETING TYPE       | Annual                 |
| TICKER SYMBOL  | NMFC            | MEETING DATE       | 26-Apr-2017            |
| ISIN           | US6475511001    | AGENDA             | 934544152 - Management |
| RECORD DATE    | 01-Mar-2017     | HOLDING RECON DATE | 01-Mar-2017            |
| CITY / COUNTRY | / United States | VOTE DEADLINE DATE | 25-Apr-2017            |
| SEDOL(S)       |                 | QUICK CODE         |                        |

| ITEM | PROPOSAL   | PROPOSED BY | VOTE | MANAGEMENT RECOMMENDATION |
|------|--|-------------|------|---------------------------|
| 1.   | DIRECTOR   | Management  |      |                           |
|      | 1 STEVEN B. KLINSKY  |             | For  | For                       |
|      | 2 KURT J. WOLFGRUBER   |             | For  | For                       |
|      | 3 ROME G. ARNOLD III   |             | For  | For                       |
| 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, 2017 | Management  | For  | For                       |

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| ACCOUNT NUMBER | ACCOUNT NAME         | INTERNAL ACCOUNT | CUSTODIAN  | BALLOT SHARES | UNAVAILABLE SHARES |
|----------------|----------------------|------------------|------------|---------------|--------------------|
| 000736385      | FT SFFO FUND FBO BNP | 736385           | BNY MELLON | 565,164       | 0                  |

-----  
 TRIPLEPOINT VENTURE GROWTH BDC CORP.  
 -----

|                |                 |                    |                        |
|----------------|-----------------|--------------------|------------------------|
| SECURITY       | 89677Y100       | MEETING TYPE       | Annual                 |
| TICKER SYMBOL  | TPVG            | MEETING DATE       | 27-Apr-2017            |
| ISIN           | US89677Y1001    | AGENDA             | 934567845 - Management |
| RECORD DATE    | 20-Mar-2017     | HOLDING RECON DATE | 20-Mar-2017            |
| CITY / COUNTRY | / United States | VOTE DEADLINE DATE | 26-Apr-2017            |
| SEDOL(S)       |                 | QUICK CODE         |                        |

| ITEM | PROPOSAL   | PROPOSED BY | VOTE | MANAGEMENT RECOMMENDATION |
|------|--|-------------|------|---------------------------|
| 1.   | DIRECTOR<br>1 JAMES P. LABE  | Management  | For  | For                       |
| 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, 2017. | Management  | For  | For                       |

| ACCOUNT NUMBER | ACCOUNT NAME                     | INTERNAL ACCOUNT | CUSTODIAN  | BALLOT SHARES | UNAVAILABLE SHARES |
|----------------|----------------------------------|------------------|------------|---------------|--------------------|
| 000736385      | FT SFFO FUND FBO BNP             | 736385           | BNY MELLON | 349,856       | 0                  |
| 000736386      | FT SPEC FIN & FINANCIAL OPP FUND | 000736386        | BNY MELLON | 123,989       | 0                  |

-----  
 MAIN STREET CAPITAL CORPORATION  
 -----

|                |                 |                    |                        |
|----------------|-----------------|--------------------|------------------------|
| SECURITY       | 56035L104       | MEETING TYPE       | Annual                 |
| TICKER SYMBOL  | MAIN            | MEETING DATE       | 01-May-2017            |
| ISIN           | US56035L1044    | AGENDA             | 934540142 - Management |
| RECORD DATE    | 03-Mar-2017     | HOLDING RECON DATE | 03-Mar-2017            |
| CITY / COUNTRY | / United States | VOTE DEADLINE DATE | 28-Apr-2017            |
| SEDOL(S)       |                 | QUICK CODE         |                        |

| ITEM | PROPOSAL                                   | PROPOSED BY | VOTE | MANAGEMENT RECOMMENDATION |
|------|--|-------------|------|---------------------------|
| 1A.  | ELECTION OF DIRECTOR: MICHAEL APPLING, JR. | Management  | For  | For                       |
| 1B.  | ELECTION OF DIRECTOR: JOSEPH E. CANON      | Management  | For  | For                       |
| 1C.  | ELECTION OF DIRECTOR: ARTHUR L. FRENCH     | Management  | For  | For                       |
| 1D.  | ELECTION OF DIRECTOR: J. KEVIN             | Management  | For  | For                       |

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GRIFFIN

|     |  |            |        |         |
|-----|--|------------|--------|---------|
| 1E. | ELECTION OF DIRECTOR: JOHN E. JACKSON  | Management | For    | For     |
| 1F. | ELECTION OF DIRECTOR: BRIAN E. LANE  | Management | For    | For     |
| 1G. | ELECTION OF DIRECTOR: STEPHEN B. SOLCHER   | Management | For    | For     |
| 1H. | ELECTION OF DIRECTOR: VINCENT D. FOSTER  | Management | For    | For     |
| 2.  | PROPOSAL TO RATIFY THE APPOINTMENT OF GRANT THORNTON, LLP AS OUR INDEPENDENT REGISTERED PUBLIC ACCOUNTING FIRM FOR THE YEAR ENDED DECEMBER 31, 2017. | Management | For    | For     |
| 3.  | ADVISORY NON-BINDING APPROVAL OF EXECUTIVE COMPENSATION.   | Management | For    | For     |
| 4.  | ADVISORY NON-BINDING APPROVAL OF FREQUENCY OF FUTURE ADVISORY VOTES ON EXECUTIVE COMPENSATION.   | Management | 1 Year | 3 Years |

| ACCOUNT NUMBER | ACCOUNT NAME                     | INTERNAL ACCOUNT | CUSTODIAN  | BALLOT SHARES | UNAVAILABLE SHARES |
|----------------|----------------------------------|------------------|------------|---------------|--------------------|
| 000736385      | FT SFFO FUND FBO BNP             | 736385           | BNY MELLON | 39,044        | 0                  |
| 000736386      | FT SPEC FIN & FINANCIAL OPP FUND | 000736386        | BNY MELLON | 10,063        | 0                  |

TRIANGLE CAPITAL CORPORATION

|                |                 |                    |                        |
|----------------|-----------------|--------------------|------------------------|
| SECURITY       | 895848109       | MEETING TYPE       | Annual                 |
| TICKER SYMBOL  | TCAP            | MEETING DATE       | 03-May-2017            |
| ISIN           | US8958481090    | AGENDA             | 934544633 - Management |
| RECORD DATE    | 23-Feb-2017     | HOLDING RECON DATE | 23-Feb-2017            |
| CITY / COUNTRY | / United States | VOTE DEADLINE DATE | 02-May-2017            |
| SEDOL(S)       |                 | QUICK CODE         |                        |

| ITEM | PROPOSAL                                     | PROPOSED BY | VOTE | MANAGEMENT RECOMMENDATION |
|------|--|-------------|------|---------------------------|
| 1A.  | ELECTION OF DIRECTOR: E. ASHTON POOLE        | Management  | For  | For                       |
| 1B.  | ELECTION OF DIRECTOR: STEVEN C. LILLY        | Management  | For  | For                       |
| 1C.  | ELECTION OF DIRECTOR: GARLAND S. TUCKER, III | Management  | For  | For                       |
| 1D.  | ELECTION OF DIRECTOR: W. MCCOMB DUNWOODY     | Management  | For  | For                       |

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|     |   |            |        |         |
|-----|---|------------|--------|---------|
| 1E. | ELECTION OF DIRECTOR: MARK M. GAMBILL   | Management | For    | For     |
| 1F. | ELECTION OF DIRECTOR: BENJAMIN S. GOLDSTEIN   | Management | For    | For     |
| 1G. | ELECTION OF DIRECTOR: MARK F. MULHERN   | Management | For    | For     |
| 1H. | ELECTION OF DIRECTOR: SIMON B. RICH, JR.  | Management | For    | For     |
| 2.  | PROPOSAL TO AUTHORIZE THE COMPANY TO SELL CERTAIN SECURITIES AT A PRICE LESS THAN NET ASSET VALUE (SEE PROXY STATEMENT FOR FULL PROPOSAL).                    | Management | For    | For     |
| 3.  | ADVISORY VOTE TO APPROVE THE COMPENSATION OF OUR NAMED EXECUTIVE OFFICERS.  | Management | For    | For     |
| 4.  | ADVISORY VOTE TO DETERMINE WHETHER A STOCKHOLDER VOTE TO APPROVE THE COMPENSATION OF OUR NAMED EXECUTIVE OFFICERS SHOULD OCCUR EVERY ONE, TWO OR THREE YEARS. | Management | 1 Year | 3 Years |
| 5.  | TO APPROVE THE COMPANY'S OMNIBUS INCENTIVE PLAN.  | Management | For    | For     |

| ACCOUNT NUMBER | ACCOUNT NAME                     | INTERNAL ACCOUNT | CUSTODIAN  | BALLOT SHARES | UNAVAILABLE SHARES |
|----------------|----------------------------------|------------------|------------|---------------|--------------------|
| 000736385      | FT SFFO FUND FBO BNP             | 736385           | BNY MELLON | 295,548       | 0                  |
| 000736386      | FT SPEC FIN & FINANCIAL OPP FUND | 000736386        | BNY MELLON | 21,046        | 0                  |

CAPITALA FINANCE CORP

|                |                 |                    |                        |
|----------------|-----------------|--------------------|------------------------|
| SECURITY       | 14054R106       | MEETING TYPE       | Annual                 |
| TICKER SYMBOL  | CPTA            | MEETING DATE       | 04-May-2017            |
| ISIN           | US14054R1068    | AGENDA             | 934545433 - Management |
| RECORD DATE    | 02-Mar-2017     | HOLDING RECON DATE | 02-Mar-2017            |
| CITY / COUNTRY | / United States | VOTE DEADLINE DATE | 03-May-2017            |
| SEDOL(S)       |                 | QUICK CODE         |                        |

| ITEM | PROPOSAL   | PROPOSED BY | VOTE | MANAGEMENT RECOMMENDATION |
|------|--|-------------|------|---------------------------|
| 1.   | DIRECTOR<br>1 R. CHARLES MOYER   | Management  | For  | For                       |
| 2.   | THE RATIFICATION OF THE SELECTION OF ERNST & YOUNG LLP AS THE INDEPENDENT REGISTERED PUBLIC ACCOUNTING FIRM FOR CAPITALA | Management  | For  | For                       |



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FINANCE CORP. FOR THE FISCAL YEAR  
ENDING DECEMBER 31, 2017.

3. TO APPROVE A PROPOSAL TO Management For For  
 AUTHORIZE CAPITALA FINANCE CORP.  
 TO SELL SHARES OF ITS COMMON  
 STOCK AT A PRICE OR PRICES BELOW  
 CAPITALA FINANCE CORP.'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 ... (DUE TO SPACE LIMITS, SEE  
 PROXY STATEMENT FOR FULL  
 PROPOSAL).

| ACCOUNT NUMBER | ACCOUNT NAME                        | INTERNAL ACCOUNT | CUSTODIAN  | BALLOT SHARES | UNAVAILABLE SHARES |
|----------------|-------------------------------------|------------------|------------|---------------|--------------------|
| 000736386      | FT SPEC FIN &<br>FINANCIAL OPP FUND | 000736386        | BNY MELLON | 80,117        | 0                  |

KCAP FINANCIAL, INC.

|                |                 |                    |                        |
|----------------|-----------------|--------------------|------------------------|
| SECURITY       | 48668E101       | MEETING TYPE       | Annual                 |
| TICKER SYMBOL  | KCAP            | MEETING DATE       | 04-May-2017            |
| ISIN           | US48668E1010    | AGENDA             | 934549734 - Management |
| RECORD DATE    | 09-Mar-2017     | HOLDING RECON DATE | 09-Mar-2017            |
| CITY / COUNTRY | / United States | VOTE DEADLINE DATE | 03-May-2017            |
| SEDOL(S)       |                 | QUICK CODE         |                        |

| ITEM | PROPOSAL   | PROPOSED BY | VOTE       | MANAGEMENT RECOMMENDATION |
|------|--|-------------|------------|---------------------------|
| 1.   | DIRECTOR<br>1 ALBERT G. PASTINO<br>2 C. MICHAEL JACOBI   | Management  | For<br>For | For<br>For                |
| 2.   | TO APPROVE THE 2017 EQUITY INCENTIVE PLAN.   | Management  | For        | For                       |
| 3.   | TO APPROVE THE 2017 NON-EMPLOYEE DIRECTOR PLAN.  | Management  | For        | For                       |
| 4.   | TO APPROVE, IN A NON-BINDING VOTE, THE COMPENSATION PAID TO THE COMPANY'S NAMED EXECUTIVE OFFICERS.  | Management  | For        | For                       |
| 5.   | TO RECOMMEND, BY NON-BINDING VOTE, THE FREQUENCY OF EXECUTIVE COMPENSATION VOTES.  | Management  | 1 Year     | 1 Year                    |
| 6.   | TO RATIFY THE SELECTION OF ERNST & YOUNG LLP AS THE INDEPENDENT REGISTERED PUBLIC ACCOUNTANT OF THE COMPANY FOR THE YEAR ENDING DECEMBER 31, 2017. | Management  | For        | For                       |

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| ACCOUNT NUMBER | ACCOUNT NAME                     | INTERNAL ACCOUNT | CUSTODIAN  | BALLOT SHARES | UNAVAILABLE SHARES |
|----------------|----------------------------------|------------------|------------|---------------|--------------------|
| 000736386      | FT SPEC FIN & FINANCIAL OPP FUND | 000736386        | BNY MELLON | 340,472       | 0                  |

BLACKROCK CAPITAL INVESTMENT CORPORATION

|                |                 |                    |                        |
|----------------|-----------------|--------------------|------------------------|
| SECURITY       | 092533108       | MEETING TYPE       | Annual                 |
| TICKER SYMBOL  | BKCC            | MEETING DATE       | 05-May-2017            |
| ISIN           | US0925331086    | AGENDA             | 934556830 - Management |
| RECORD DATE    | 06-Mar-2017     | HOLDING RECON DATE | 06-Mar-2017            |
| CITY / COUNTRY | / United States | VOTE DEADLINE DATE | 04-May-2017            |
| SEDOL(S)       |                 | QUICK CODE         |                        |

| ITEM | PROPOSAL  | PROPOSED BY | VOTE | MANAGEMENT RECOMMENDATION |
|------|---|-------------|------|---------------------------|
| 1.   | DIRECTOR  | Management  |      |                           |
|      | 1 JOHN R. BARON   |             | For  | For                       |
|      | 2 JERROLD B. HARRIS   |             | For  | For                       |
| 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, 2017. | Management  | For  | For                       |

| ACCOUNT NUMBER | ACCOUNT NAME         | INTERNAL ACCOUNT | CUSTODIAN  | BALLOT SHARES | UNAVAILABLE SHARES |
|----------------|----------------------|------------------|------------|---------------|--------------------|
| 000736385      | FT SFFO FUND FBO BNP | 736385           | BNY MELLON | 103,900       | 0                  |

BLACKROCK CAPITAL INVESTMENT CORPORATION

|                |                 |                    |                        |
|----------------|-----------------|--------------------|------------------------|
| SECURITY       | 092533108       | MEETING TYPE       | Special                |
| TICKER SYMBOL  | BKCC            | MEETING DATE       | 05-May-2017            |
| ISIN           | US0925331086    | AGENDA             | 934560536 - Management |
| RECORD DATE    | 06-Mar-2017     | HOLDING RECON DATE | 06-Mar-2017            |
| CITY / COUNTRY | / United States | VOTE DEADLINE DATE | 04-May-2017            |
| SEDOL(S)       |                 | QUICK CODE         |                        |

| ITEM | PROPOSAL   | PROPOSED BY | VOTE | MANAGEMENT RECOMMENDATION |
|------|--|-------------|------|---------------------------|
| 1.   | TO APPROVE A PROPOSAL 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 | Management  | For  | For                       |

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MORE OFFERINGS, SUBJECT TO  
CERTAIN LIMITATIONS SET FORTH IN  
THE PROXY STATEMENT FOR THE  
SPECIAL MEETING.

| ACCOUNT NUMBER | ACCOUNT NAME         | INTERNAL ACCOUNT | CUSTODIAN  | BALLOT SHARES | UNAVAILABLE SHARES |
|----------------|----------------------|------------------|------------|---------------|--------------------|
| 000736385      | FT SFFO FUND FBO BNP | 736385           | BNY MELLON | 103,900       | 0                  |

CYS INVESTMENTS, INC

|                |                 |                    |                        |
|----------------|-----------------|--------------------|------------------------|
| SECURITY       | 12673A108       | MEETING TYPE       | Annual                 |
| TICKER SYMBOL  | CYS             | MEETING DATE       | 12-May-2017            |
| ISIN           | US12673A1088    | AGENDA             | 934564370 - Management |
| RECORD DATE    | 15-Mar-2017     | HOLDING RECON DATE | 15-Mar-2017            |
| CITY / COUNTRY | / United States | VOTE DEADLINE DATE | 11-May-2017            |
| SEDOL(S)       |                 | QUICK CODE         |                        |

| ITEM | PROPOSAL  | PROPOSED BY | VOTE | MANAGEMENT RECOMMENDATION |
|------|---|-------------|------|---------------------------|
| 1    | DIRECTOR  | Management  |      |                           |
|      | 1 KEVIN E. GRANT  |             | For  | For                       |
|      | 2 TANYA S. BEDER  |             | For  | For                       |
|      | 3 KAREN HAMMOND   |             | For  | For                       |
|      | 4 STEPHEN P. JONAS  |             | For  | For                       |
|      | 5 R.A. REDLINGSHAFFER, JR.  |             | For  | For                       |
|      | 6 DALE A. REISS   |             | For  | For                       |
|      | 7 JAMES A. STERN  |             | For  | For                       |
|      | 8 DAVID A. TYSON, PHD   |             | For  | For                       |
| 2    | ADVISORY VOTE TO APPROVE THE COMPENSATION OF THE COMPANY'S NAMED EXECUTIVE OFFICERS   | Management  | For  | For                       |
| 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, 2017 | Management  | For  | For                       |

| ACCOUNT NUMBER | ACCOUNT NAME                     | INTERNAL ACCOUNT | CUSTODIAN  | BALLOT SHARES | UNAVAILABLE SHARES |
|----------------|----------------------------------|------------------|------------|---------------|--------------------|
| 000736385      | FT SFFO FUND FBO BNP             | 736385           | BNY MELLON | 696,880       | 0                  |
| 000736386      | FT SPEC FIN & FINANCIAL OPP FUND | 000736386        | BNY MELLON | 75,000        | 0                  |

CAPSTEAD MORTGAGE CORPORATION

|               |              |              |                        |
|---------------|--------------|--------------|------------------------|
| SECURITY      | 14067E506    | MEETING TYPE | Annual                 |
| TICKER SYMBOL | CMO          | MEETING DATE | 17-May-2017            |
| ISIN          | US14067E5069 | AGENDA       | 934574078 - Management |

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RECORD DATE 24-Mar-2017 HOLDING RECON DATE 24-Mar-2017  
 CITY / COUNTRY / United VOTE DEADLINE DATE 16-May-2017  
 States

SEDOL(S) QUICK CODE

| ITEM | PROPOSAL  | PROPOSED BY | VOTE   | MANAGEMENT RECOMMENDATION |
|------|---|-------------|--------|---------------------------|
| 1A   | ELECTION OF DIRECTOR: JOHN L. (JACK) BERNARD  | Management  | For    | For                       |
| 1B   | ELECTION OF DIRECTOR: JACK BIEGLER  | Management  | For    | For                       |
| 1C   | ELECTION OF DIRECTOR: MICHELLE P. GOOLSBY   | Management  | For    | For                       |
| 1D   | ELECTION OF DIRECTOR: GARY KEISER   | Management  | For    | For                       |
| 1E   | ELECTION OF DIRECTOR: CHRISTOPHER W. MAHOWALD   | Management  | For    | For                       |
| 1F   | ELECTION OF DIRECTOR: MICHAEL G. O'NEIL   | Management  | For    | For                       |
| 1G   | ELECTION OF DIRECTOR: PHILLIP A. REINSCH  | Management  | For    | For                       |
| 1H   | ELECTION OF DIRECTOR: MARK S. WHITING   | Management  | For    | For                       |
| 02   | TO APPROVE ON AN ADVISORY (NON-BINDING) BASIS OUR 2016 EXECUTIVE COMPENSATION.  | Management  | For    | For                       |
| 03   | TO HOLD AN ADVISORY (NON-BINDING) VOTE ON THE FREQUENCY OF STOCKHOLDER VOTES ON OUR EXECUTIVE COMPENSATION.                                       | Management  | 1 Year | 1 Year                    |
| 04   | TO RATIFY THE APPOINTMENT OF ERNST & YOUNG LLP AS OUR INDEPENDENT REGISTERED PUBLIC ACCOUNTING FIRM FOR THE FISCAL YEAR ENDING DECEMBER 31, 2017. | Management  | For    | For                       |

| ACCOUNT NUMBER | ACCOUNT NAME                     | INTERNAL ACCOUNT | CUSTODIAN  | BALLOT SHARES | UNAVAILABLE SHARES |
|----------------|----------------------------------|------------------|------------|---------------|--------------------|
| 000736385      | FT SFFO FUND FBO BNP             | 736385           | BNY MELLON | 69,500        | 0                  |
| 000736386      | FT SPEC FIN & FINANCIAL OPP FUND | 000736386        | BNY MELLON | 39,000        | 0                  |

SOLAR CAPITAL LTD

SECURITY 83413U100 MEETING TYPE Annual  
 TICKER SYMBOL SLRC MEETING DATE 17-May-2017  
 ISIN US83413U1007 AGENDA 934568518 - Management  
 RECORD DATE 22-Mar-2017 HOLDING RECON DATE 22-Mar-2017  
 CITY / COUNTRY / United VOTE DEADLINE DATE 16-May-2017

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| SEDOL (S) | States  | QUICK CODE |             |      |                           |
|-----------|---|------------|-------------|------|---------------------------|
| ITEM      | PROPOSAL  |            | PROPOSED BY | VOTE | MANAGEMENT RECOMMENDATION |
| 1.        | DIRECTOR  |            | Management  |      |                           |
|           | 1 MR. BRUCE SPOHLER   |            |             | For  | For                       |
|           | 2 MR. STEVEN HOCHBERG   |            |             | For  | For                       |
| 2.        | TO APPROVE A PROPOSAL TO AUTHORIZE THE COMPANY TO SELL SHARES OF ITS COMMON STOCK AT A PRICE OR PRICES BELOW THE COMPANY'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 THE COMPANY'S THEN OUTSTANDING COMMON STOCK IMMEDIATELY PRIOR TO EACH SUCH OFFERING). |            | Management  | For  | For                       |

| ACCOUNT NUMBER | ACCOUNT NAME                     | INTERNAL ACCOUNT | CUSTODIAN  | BALLOT SHARES | UNAVAILABLE SHARES |
|----------------|----------------------------------|------------------|------------|---------------|--------------------|
| 000736385      | FT SFFO FUND FBO BNP             | 736385           | BNY MELLON | 295,709       | 0                  |
| 000736386      | FT SPEC FIN & FINANCIAL OPP FUND | 000736386        | BNY MELLON | 12,100        | 0                  |

SOLAR SENIOR CAPITAL LTD

|                |                 |                    |                        |
|----------------|-----------------|--------------------|------------------------|
| SECURITY       | 83416M105       | MEETING TYPE       | Annual                 |
| TICKER SYMBOL  | SUNS            | MEETING DATE       | 17-May-2017            |
| ISIN           | US83416M1053    | AGENDA             | 934568520 - Management |
| RECORD DATE    | 22-Mar-2017     | HOLDING RECON DATE | 22-Mar-2017            |
| CITY / COUNTRY | / United States | VOTE DEADLINE DATE | 16-May-2017            |
| SEDOL (S)      |                 | QUICK CODE         |                        |

| ITEM | PROPOSAL  |  | PROPOSED BY | VOTE | MANAGEMENT RECOMMENDATION |
|------|---|--|-------------|------|---------------------------|
| 1.   | DIRECTOR  |  | Management  |      |                           |
|      | 1 MR. MICHAEL S. GROSS  |  |             | For  | For                       |
|      | 2 MR. LEONARD A. POTTER   |  |             | For  | For                       |
| 2.   | TO APPROVE A PROPOSAL TO AUTHORIZE THE COMPANY TO SELL SHARES OF ITS COMMON STOCK AT A PRICE OR PRICES BELOW THE COMPANY'S THEN CURRENT NET ASSET VALUE PER SHARE IN ONE OR |  | Management  | For  | For                       |

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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 THE COMPANY'S THEN OUTSTANDING COMMON STOCK IMMEDIATELY PRIOR TO EACH SUCH OFFERING) .

| ACCOUNT NUMBER | ACCOUNT NAME                     | INTERNAL ACCOUNT | CUSTODIAN  | BALLOT SHARES | UNAVAILABLE SHARES |
|----------------|----------------------------------|------------------|------------|---------------|--------------------|
| 000736386      | FT SPEC FIN & FINANCIAL OPP FUND | 000736386        | BNY MELLON | 25,000        | 0                  |

TPG SPECIALTY LENDING, INC.

|                |                 |                    |                        |
|----------------|-----------------|--------------------|------------------------|
| SECURITY       | 87265K102       | MEETING TYPE       | Annual                 |
| TICKER SYMBOL  | TSLX            | MEETING DATE       | 18-May-2017            |
| ISIN           | US87265K1025    | AGENDA             | 934566285 - Management |
| RECORD DATE    | 24-Mar-2017     | HOLDING RECON DATE | 24-Mar-2017            |
| CITY / COUNTRY | / United States | VOTE DEADLINE DATE | 17-May-2017            |
| SEDOL(S)       |                 | QUICK CODE         |                        |

| ITEM | PROPOSAL   | PROPOSED BY | VOTE | MANAGEMENT RECOMMENDATION |
|------|--|-------------|------|---------------------------|
| 1.   | DIRECTOR   | Management  |      |                           |
|      | 1 JOSHUA EASTERLY  |             | For  | For                       |
|      | 2 MICHAEL FISHMAN  |             | For  | For                       |
| 2.   | TO RATIFY THE SELECTION OF KPMG LLP AS THE COMPANY'S INDEPENDENT REGISTERED PUBLIC ACCOUNTING FIRM FOR THE FISCAL YEAR ENDING DECEMBER 31, 2017. | Management  | For  | For                       |

| ACCOUNT NUMBER | ACCOUNT NAME                     | INTERNAL ACCOUNT | CUSTODIAN  | BALLOT SHARES | UNAVAILABLE SHARES |
|----------------|----------------------------------|------------------|------------|---------------|--------------------|
| 000736385      | FT SFFO FUND FBO BNP             | 736385           | BNY MELLON | 156,455       | 0                  |
| 000736386      | FT SPEC FIN & FINANCIAL OPP FUND | 000736386        | BNY MELLON | 50,296        | 0                  |

TPG SPECIALTY LENDING, INC.

|                |                 |                    |                        |
|----------------|-----------------|--------------------|------------------------|
| SECURITY       | 87265K102       | MEETING TYPE       | Special                |
| TICKER SYMBOL  | TSLX            | MEETING DATE       | 18-May-2017            |
| ISIN           | US87265K1025    | AGENDA             | 934576147 - Management |
| RECORD DATE    | 24-Mar-2017     | HOLDING RECON DATE | 24-Mar-2017            |
| CITY / COUNTRY | / United States | VOTE DEADLINE DATE | 17-May-2017            |
| SEDOL(S)       |                 | QUICK CODE         |                        |

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| ITEM | PROPOSAL  | PROPOSED BY | VOTE | MANAGEMENT RECOMMENDATION |
|------|---|-------------|------|---------------------------|
| 1.   | TO APPROVE A PROPOSAL TO AUTHORIZE THE COMPANY TO SELL OR OTHERWISE ISSUE SHARES OF ITS COMMON STOCK AT A PRICE BELOW ITS 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 SUBJECT TO THE CONDITIONS SET FORTH IN THE ACCOMPANYING PROXY STATEMENT | Management  | For  | For                       |

| ACCOUNT NUMBER | ACCOUNT NAME                     | INTERNAL ACCOUNT | CUSTODIAN  | BALLOT SHARES | UNAVAILABLE SHARES |
|----------------|----------------------------------|------------------|------------|---------------|--------------------|
| 000736385      | FT SFFO FUND FBO BNP             | 736385           | BNY MELLON | 156,455       | 0                  |
| 000736386      | FT SPEC FIN & FINANCIAL OPP FUND | 000736386        | BNY MELLON | 50,296        | 0                  |

GOLDMAN SACHS BDC, INC.

|                |                 |                    |                        |
|----------------|-----------------|--------------------|------------------------|
| SECURITY       | 38147U107       | MEETING TYPE       | Annual                 |
| TICKER SYMBOL  | GSBD            | MEETING DATE       | 19-May-2017            |
| ISIN           | US38147U1079    | AGENDA             | 934560346 - Management |
| RECORD DATE    | 20-Mar-2017     | HOLDING RECON DATE | 20-Mar-2017            |
| CITY / COUNTRY | / United States | VOTE DEADLINE DATE | 18-May-2017            |
| SEDOL(S)       |                 | QUICK CODE         |                        |

| ITEM | PROPOSAL   | PROPOSED BY | VOTE | MANAGEMENT RECOMMENDATION |
|------|--|-------------|------|---------------------------|
| 1A.  | ELECTION OF DIRECTOR: ROSS J. KARI   | Management  | For  | For                       |
| 1B.  | ELECTION OF DIRECTOR: ANN B. LANE  | Management  | For  | For                       |
| 2.   | TO RATIFY THE SELECTION OF PRICEWATERHOUSECOOPERS LLP AS THE COMPANY'S INDEPENDENT REGISTERED PUBLIC ACCOUNTING FIRM FOR THE FISCAL YEAR ENDING DECEMBER 31, 2017. | Management  | For  | For                       |

| ACCOUNT NUMBER | ACCOUNT NAME                     | INTERNAL ACCOUNT | CUSTODIAN  | BALLOT SHARES | UNAVAILABLE SHARES |
|----------------|----------------------------------|------------------|------------|---------------|--------------------|
| 000736385      | FT SFFO FUND FBO BNP             | 736385           | BNY MELLON | 22,255        | 0                  |
| 000736386      | FT SPEC FIN & FINANCIAL OPP FUND | 000736386        | BNY MELLON | 30,808        | 0                  |

ARES CAPITAL CORPORATION

|               |           |              |             |
|---------------|-----------|--------------|-------------|
| SECURITY      | 04010L103 | MEETING TYPE | Annual      |
| TICKER SYMBOL | ARCC      | MEETING DATE | 22-May-2017 |

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|                |                 |                    |                        |
|----------------|-----------------|--------------------|------------------------|
| ISIN           | US04010L1035    | AGENDA             | 934557426 - Management |
| RECORD DATE    | 09-Mar-2017     | HOLDING RECON DATE | 09-Mar-2017            |
| CITY / COUNTRY | / United States | VOTE DEADLINE DATE | 19-May-2017            |

SEDOL(S) QUICK CODE

| ITEM | PROPOSAL  | PROPOSED BY | VOTE | MANAGEMENT RECOMMENDATION |
|------|---|-------------|------|---------------------------|
| 1A.  | ELECTION OF DIRECTOR: MICHAEL J AROUGHETI (CLASS I DIRECTOR FOR A TERM OF 3 YEARS EXPIRING IN 2020)                                       | Management  | For  | For                       |
| 1B.  | ELECTION OF DIRECTOR: ANN TORRE BATES (CLASS I DIRECTOR FOR A TERM OF 3 YEARS EXPIRING IN 2020)   | Management  | For  | For                       |
| 1C.  | ELECTION OF DIRECTOR: STEVE MCKEEVER (CLASS I DIRECTOR FOR A TERM OF 3 YEARS EXPIRING IN 2020)  | Management  | For  | For                       |
| 2.   | TO RATIFY THE SELECTION OF KPMG LLP AS THE COMPANY'S INDEPENDENT REGISTERED PUBLIC ACCOUNTING FIRM FOR THE YEAR ENDING DECEMBER 31, 2017. | Management  | For  | For                       |

| ACCOUNT NUMBER | ACCOUNT NAME                     | INTERNAL ACCOUNT | CUSTODIAN  | BALLOT SHARES | UNAVAILABLE SHARES |
|----------------|----------------------------------|------------------|------------|---------------|--------------------|
| 000736385      | FT SFFO FUND FBO BNP             | 736385           | BNY MELLON | 500,000       | 0                  |
| 000736386      | FT SPEC FIN & FINANCIAL OPP FUND | 000736386        | BNY MELLON | 327,412       | 0                  |

ARES CAPITAL CORPORATION

|                |                 |                    |                        |
|----------------|-----------------|--------------------|------------------------|
| SECURITY       | 04010L103       | MEETING TYPE       | Special                |
| TICKER SYMBOL  | ARCC            | MEETING DATE       | 22-May-2017            |
| ISIN           | US04010L1035    | AGENDA             | 934560598 - Management |
| RECORD DATE    | 09-Mar-2017     | HOLDING RECON DATE | 09-Mar-2017            |
| CITY / COUNTRY | / United States | VOTE DEADLINE DATE | 19-May-2017            |

SEDOL(S) QUICK CODE

| ITEM | PROPOSAL  | PROPOSED BY | VOTE | MANAGEMENT RECOMMENDATION |
|------|---|-------------|------|---------------------------|
| 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 (INCLUDING, ... (DUE TO SPACE LIMITS, SEE PROXY STATEMENT FOR FULL PROPOSAL) . | Management  | For  | For                       |



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| ACCOUNT NUMBER | ACCOUNT NAME                        | INTERNAL ACCOUNT | CUSTODIAN  | BALLOT SHARES | UNAVAILABLE SHARES |
|----------------|-------------------------------------|------------------|------------|---------------|--------------------|
| 000736385      | FT SFFO FUND FBO BNP                | 736385           | BNY MELLON | 500,000       | 0                  |
| 000736386      | FT SPEC FIN &<br>FINANCIAL OPP FUND | 000736386        | BNY MELLON | 327,412       | 0                  |

COMPASS DIVERSIFIED HOLDINGS

|                |                 |                    |                        |
|----------------|-----------------|--------------------|------------------------|
| SECURITY       | 20451Q104       | MEETING TYPE       | Annual                 |
| TICKER SYMBOL  | CODI            | MEETING DATE       | 24-May-2017            |
| ISIN           | US20451Q1040    | AGENDA             | 934587037 - Management |
| RECORD DATE    | 27-Mar-2017     | HOLDING RECON DATE | 27-Mar-2017            |
| CITY / COUNTRY | / United States | VOTE DEADLINE DATE | 23-May-2017            |
| SEDOL(S)       |                 | QUICK CODE         |                        |

| ITEM | PROPOSAL  | PROPOSED BY | VOTE   | MANAGEMENT RECOMMENDATION |
|------|---|-------------|--------|---------------------------|
| 1.   | DIRECTOR  | Management  |        |                           |
|      | 1 JAMES J. BOTTIGLIERI  |             | For    | For                       |
|      | 2 GORDON M. BURNS   |             | For    | For                       |
| 2.   | TO APPROVE, ON A NON-BINDING AND ADVISORY BASIS, THE RESOLUTION APPROVING THE COMPENSATION OF OUR EXECUTIVE OFFICERS AS DISCLOSED IN THE PROXY STATEMENT ("SAY-ON-PAY VOTE"). | Management  | For    | For                       |
| 3.   | TO RECOMMEND, ON A NON-BINDING AND ADVISORY BASIS, THE FREQUENCY OF THE SAY-ON-PAY VOTE ("SAY-ON-FREQUENCY VOTE").  | Management  | 1 Year | 1 Year                    |
| 4.   | TO RATIFY THE APPOINTMENT OF GRANT THORNTON LLP TO SERVE AS INDEPENDENT AUDITOR FOR THE COMPANY AND THE TRUST FOR THE FISCAL YEAR ENDING DECEMBER 31, 2017.                   | Management  | For    | For                       |

| ACCOUNT NUMBER | ACCOUNT NAME                        | INTERNAL ACCOUNT | CUSTODIAN  | BALLOT SHARES | UNAVAILABLE SHARES |
|----------------|-------------------------------------|------------------|------------|---------------|--------------------|
| 000736386      | FT SPEC FIN &<br>FINANCIAL OPP FUND | 000736386        | BNY MELLON | 25,000        | 0                  |

STELLUS CAPITAL INVESTMENT CORPORATION

|                |                 |                    |                        |
|----------------|-----------------|--------------------|------------------------|
| SECURITY       | 858568108       | MEETING TYPE       | Annual                 |
| TICKER SYMBOL  | SCM             | MEETING DATE       | 24-May-2017            |
| ISIN           | US8585681088    | AGENDA             | 934591896 - Management |
| RECORD DATE    | 05-Apr-2017     | HOLDING RECON DATE | 05-Apr-2017            |
| CITY / COUNTRY | / United States | VOTE DEADLINE DATE | 23-May-2017            |
| SEDOL(S)       |                 | QUICK CODE         |                        |

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| ITEM | PROPOSAL  | PROPOSED BY | VOTE       | MANAGEMENT RECOMMENDATION |
|------|---|-------------|------------|---------------------------|
| 1.   | DIRECTOR<br>1 JOSHUA T. DAVIS<br>2 BRUCE R. BILGER  | Management  | For<br>For | For<br>For                |
| 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 IS BELOW THE COMPANY'S THEN CURRENT NAV PER SHARE. | Management  | For        | For                       |
| 3.   | TO APPROVE THE ADJOURNMENT OF THE ANNUAL MEETING, IF NECESSARY OR APPROPRIATE, TO SOLICIT ADDITIONAL PROXIES.   | Management  | For        | For                       |

| ACCOUNT NUMBER | ACCOUNT NAME                     | INTERNAL ACCOUNT | CUSTODIAN  | BALLOT SHARES | UNAVAILABLE SHARES |
|----------------|----------------------------------|------------------|------------|---------------|--------------------|
| 000736385      | FT SFFO FUND FBO BNP             | 736385           | BNY MELLON | 178,529       | 0                  |
| 000736386      | FT SPEC FIN & FINANCIAL OPP FUND | 000736386        | BNY MELLON | 66,597        | 0                  |

ANNALY CAPITAL MANAGEMENT, INC.

|                |                 |                    |                        |
|----------------|-----------------|--------------------|------------------------|
| SECURITY       | 035710409       | MEETING TYPE       | Annual                 |
| TICKER SYMBOL  | NLY             | MEETING DATE       | 25-May-2017            |
| ISIN           | US0357104092    | AGENDA             | 934584500 - Management |
| RECORD DATE    | 28-Mar-2017     | HOLDING RECON DATE | 28-Mar-2017            |
| CITY / COUNTRY | / United States | VOTE DEADLINE DATE | 24-May-2017            |
| SEDOL(S)       |                 | QUICK CODE         |                        |

| ITEM | PROPOSAL   | PROPOSED BY | VOTE   | MANAGEMENT RECOMMENDATION |
|------|--|-------------|--------|---------------------------|
| 1A.  | ELECTION OF DIRECTOR: FRANCINE J. BOVICH   | Management  | For    | For                       |
| 1B.  | ELECTION OF DIRECTOR: JONATHAN D. GREEN  | Management  | For    | For                       |
| 1C.  | ELECTION OF DIRECTOR: JOHN H. SCHAEFER   | Management  | For    | For                       |
| 2.   | ADVISORY APPROVAL OF THE COMPANY'S EXECUTIVE COMPENSATION.   | Management  | For    | For                       |
| 3.   | ADVISORY VOTE ON THE FREQUENCY OF FUTURE ADVISORY VOTES TO APPROVE THE COMPANY'S EXECUTIVE COMPENSATION. | Management  | 1 Year | 1 Year                    |
| 4.   | RATIFICATION OF THE APPOINTMENT  | Management  | For    | For                       |

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OF ERNST & YOUNG LLP AS OUR  
INDEPENDENT REGISTERED PUBLIC  
ACCOUNTING FIRM FOR 2017.

| ACCOUNT NUMBER | ACCOUNT NAME                        | INTERNAL ACCOUNT | CUSTODIAN  | BALLOT SHARES | UNAVAILABLE SHARES |
|----------------|-------------------------------------|------------------|------------|---------------|--------------------|
| 000736385      | FT SFFO FUND FBO BNP                | 736385           | BNY MELLON | 314,500       | 0                  |
| 000736386      | FT SPEC FIN &<br>FINANCIAL OPP FUND | 000736386        | BNY MELLON | 143,282       | 0                  |

TCP CAPITAL CORP.

|                |                 |                    |                        |
|----------------|-----------------|--------------------|------------------------|
| SECURITY       | 87238Q103       | MEETING TYPE       | Annual                 |
| TICKER SYMBOL  | TCPC            | MEETING DATE       | 25-May-2017            |
| ISIN           | US87238Q1031    | AGENDA             | 934581782 - Management |
| RECORD DATE    | 27-Mar-2017     | HOLDING RECON DATE | 27-Mar-2017            |
| CITY / COUNTRY | / United States | VOTE DEADLINE DATE | 24-May-2017            |
| SEDOL(S)       |                 | QUICK CODE         |                        |

| ITEM | PROPOSAL  | PROPOSED BY | VOTE | MANAGEMENT RECOMMENDATION |
|------|---|-------------|------|---------------------------|
| 1.   | DIRECTOR  | Management  |      |                           |
|      | 1 KATHLEEN A. CORBET  |             | For  | For                       |
|      | 2 ERIC J. DRAUT   |             | For  | For                       |
|      | 3 M. FREDDIE REISS  |             | For  | For                       |
|      | 4 PETER E. SCHWAB   |             | For  | For                       |
|      | 5 BRIAN F. WRUBLE   |             | For  | For                       |
|      | 6 HOWARD M. LEVKOWITZ   |             | For  | For                       |
|      | 7 RAJNEESH VIG  |             | For  | For                       |
| 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 | Management  | For  | For                       |

| ACCOUNT NUMBER | ACCOUNT NAME                        | INTERNAL ACCOUNT | CUSTODIAN  | BALLOT SHARES | UNAVAILABLE SHARES |
|----------------|-------------------------------------|------------------|------------|---------------|--------------------|
| 000736385      | FT SFFO FUND FBO BNP                | 736385           | BNY MELLON | 383,728       | 0                  |
| 000736386      | FT SPEC FIN &<br>FINANCIAL OPP FUND | 000736386        | BNY MELLON | 108,135       | 0                  |

OFS CAPITAL CORPORATION

|                |                 |                    |                        |
|----------------|-----------------|--------------------|------------------------|
| SECURITY       | 67103B100       | MEETING TYPE       | Annual                 |
| TICKER SYMBOL  | OFS             | MEETING DATE       | 06-Jun-2017            |
| ISIN           | US67103B1008    | AGENDA             | 934603502 - Management |
| RECORD DATE    | 11-Apr-2017     | HOLDING RECON DATE | 11-Apr-2017            |
| CITY / COUNTRY | / United States | VOTE DEADLINE DATE | 05-Jun-2017            |

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| SEDOL(S) | QUICK CODE   |             |      |                           |
|----------|--|-------------|------|---------------------------|
| ITEM     | PROPOSAL   | PROPOSED BY | VOTE | MANAGEMENT RECOMMENDATION |
| 1.       | DIRECTOR   | Management  |      |                           |
|          | 1 ROBERT J. CRESCI   |             | For  | For                       |
|          | 2 BILAL RASHID   |             | For  | For                       |
| 2.       | THE RATIFICATION OF THE SELECTION BY THE AUDIT COMMITTEE OF OUR BOARD OF DIRECTORS OF BDO USA, LLP AS OUR INDEPENDENT REGISTERED PUBLIC ACCOUNTING FIRM FOR THE YEAR ENDING DECEMBER 31, 2017. | Management  | For  | For                       |

| ACCOUNT NUMBER | ACCOUNT NAME                     | INTERNAL ACCOUNT | CUSTODIAN  | BALLOT SHARES | UNAVAILABLE SHARES |
|----------------|----------------------------------|------------------|------------|---------------|--------------------|
| 000736385      | FT SFFO FUND FBO BNP             | 736385           | BNY MELLON | 102,084       | 0                  |
| 000736386      | FT SPEC FIN & FINANCIAL OPP FUND | 000736386        | BNY MELLON | 100,000       | 0                  |

THL CREDIT, INC.

|                |                 |                    |                        |
|----------------|-----------------|--------------------|------------------------|
| SECURITY       | 872438106       | MEETING TYPE       | Annual                 |
| TICKER SYMBOL  | TCRD            | MEETING DATE       | 06-Jun-2017            |
| ISIN           | US8724381061    | AGENDA             | 934612258 - Management |
| RECORD DATE    | 21-Apr-2017     | HOLDING RECON DATE | 21-Apr-2017            |
| CITY / COUNTRY | / United States | VOTE DEADLINE DATE | 05-Jun-2017            |

SEDOL(S)

QUICK CODE

| ITEM | PROPOSAL  | PROPOSED BY | VOTE | MANAGEMENT RECOMMENDATION |
|------|---|-------------|------|---------------------------|
| 1.   | DIRECTOR  | Management  |      |                           |
|      | 1 DAVID K. DOWNES   |             | For  | For                       |
|      | 2 CHRISTOPHER J. FLYNN  |             | For  | For                       |
|      | 3 E.P. GIAMBASTIANI, JR.  |             | For  | For                       |
|      | 4 NANCY HAWTHORNE   |             | For  | For                       |
|      | 5 JAMES D. KERN   |             | For  | For                       |
|      | 6 DEBORAH MCANENY   |             | For  | For                       |
|      | 7 SAM W. TILLINGHAST  |             | For  | For                       |
| 2.   | APPROVAL OF A PROPOSAL TO AUTHORIZE THE COMPANY TO SELL OR OTHERWISE ISSUE UP TO 25% OF THE COMPANY'S COMMON STOCK AT A NET PRICE BELOW THE COMPANY'S THEN CURRENT NAV.   | Management  | For  | For                       |
| 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 | Management  | For  | For                       |

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CONVERTIBLE DEBT ARE ISSUED, WILL NOT BE LESS THAN THE MARKET VALUE PER SHARE BUT, PROVIDED THAT PROPOSAL 2 IS APPROVED, 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. Management For For

| ACCOUNT NUMBER | ACCOUNT NAME                     | INTERNAL ACCOUNT | CUSTODIAN  | BALLOT SHARES | UNAVAILABLE SHARES |
|----------------|----------------------------------|------------------|------------|---------------|--------------------|
| 000736385      | FT SFFO FUND FBO BNP             | 736385           | BNY MELLON | 550,000       | 0                  |
| 000736386      | FT SPEC FIN & FINANCIAL OPP FUND | 000736386        | BNY MELLON | 187,618       | 0                  |

HARVEST CAPITAL CREDIT CORPORATION

|                |                 |                    |                        |
|----------------|-----------------|--------------------|------------------------|
| SECURITY       | 41753F109       | MEETING TYPE       | Annual                 |
| TICKER SYMBOL  | HCAP            | MEETING DATE       | 13-Jun-2017            |
| ISIN           | US41753F1093    | AGENDA             | 934605506 - Management |
| RECORD DATE    | 18-Apr-2017     | HOLDING RECON DATE | 18-Apr-2017            |
| CITY / COUNTRY | / United States | VOTE DEADLINE DATE | 12-Jun-2017            |
| SEDOL(S)       |                 | QUICK CODE         |                        |

| ITEM | PROPOSAL  | PROPOSED BY | VOTE | MANAGEMENT RECOMMENDATION |
|------|---|-------------|------|---------------------------|
| 1A.  | ELECTION OF DIRECTOR: DORIAN B. KLEIN   | Management  | For  | For                       |
| 1B.  | ELECTION OF DIRECTOR: JACK G. LEVIN   | Management  | For  | For                       |
| 2.   | 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, 2017. | Management  | For  | For                       |

| ACCOUNT NUMBER | ACCOUNT NAME                     | INTERNAL ACCOUNT | CUSTODIAN  | BALLOT SHARES | UNAVAILABLE SHARES |
|----------------|----------------------------------|------------------|------------|---------------|--------------------|
| 000736386      | FT SPEC FIN & FINANCIAL OPP FUND | 000736386        | BNY MELLON | 16,699        | 0                  |

ALCENTRA CAPITAL CORPORATION

|               |              |                    |                        |
|---------------|--------------|--------------------|------------------------|
| SECURITY      | 01374T102    | MEETING TYPE       | Annual                 |
| TICKER SYMBOL | ABDC         | MEETING DATE       | 15-Jun-2017            |
| ISIN          | US01374T1025 | AGENDA             | 934625990 - Management |
| RECORD DATE   | 08-May-2017  | HOLDING RECON DATE | 08-May-2017            |

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CITY / COUNTRY / United States VOTE DEADLINE DATE 14-Jun-2017  
 SEDOL(S) QUICK CODE

| ITEM | PROPOSAL   | PROPOSED BY | VOTE       | MANAGEMENT RECOMMENDATION |
|------|--|-------------|------------|---------------------------|
| 1.   | DIRECTOR<br>1 PAUL ECHUASSE<br>2 STEVEN REIFF  | Management  | For<br>For | For<br>For                |
| 2.   | RATIFICATION OF THE APPOINTMENT OF KPMG LLP AS THE COMPANY'S INDEPENDENT REGISTERED PUBLIC ACCOUNTING FIRM FOR THE FISCAL YEAR ENDING DECEMBER 31, 2017. | Management  | For        | For                       |
| 3.   | TO APPROVE THE ADJOURNMENT OF THE ANNUAL MEETING, IF NECESSARY OR APPROPRIATE, TO SOLICIT ADDITIONAL PROXIES.  | Management  | For        | For                       |

| ACCOUNT NUMBER | ACCOUNT NAME                     | INTERNAL ACCOUNT | CUSTODIAN  | BALLOT SHARES | UNAVAILABLE SHARES |
|----------------|----------------------------------|------------------|------------|---------------|--------------------|
| 000736385      | FT SFFO FUND FBO BNP             | 736385           | BNY MELLON | 62,877        | 0                  |
| 000736386      | FT SPEC FIN & FINANCIAL OPP FUND | 000736386        | BNY MELLON | 91,373        | 0                  |

MEDALLION FINANCIAL CORP.

SECURITY 583928106 MEETING TYPE Annual  
 TICKER SYMBOL MFIN MEETING DATE 22-Jun-2017  
 ISIN US5839281061 AGENDA 934610189 - Management  
 RECORD DATE 24-Apr-2017 HOLDING RECON DATE 24-Apr-2017  
 CITY / COUNTRY / United States VOTE DEADLINE DATE 21-Jun-2017  
 SEDOL(S) QUICK CODE

| ITEM | PROPOSAL  | PROPOSED BY | VOTE       | MANAGEMENT RECOMMENDATION |
|------|---|-------------|------------|---------------------------|
| 1.   | DIRECTOR<br>1 ALVIN MURSTEIN<br>2 HENRY L. AARON  | Management  | For<br>For | For<br>For                |
| 2.   | PROPOSAL TO RATIFY THE APPOINTMENT OF MAZARS USA LLP AS MEDALLION FINANCIAL CORP.'S INDEPENDENT REGISTERED PUBLIC ACCOUNTING FIRM | Management  | For        | For                       |
| 3.   | PROPOSAL TO APPROVE A NON-BINDING ADVISORY RESOLUTION TO APPROVE EXECUTIVE COMPENSATION   | Management  | For        | For                       |

| ACCOUNT NUMBER | ACCOUNT NAME  | INTERNAL ACCOUNT | CUSTODIAN  | BALLOT SHARES | UNAVAILABLE SHARES |
|----------------|---------------|------------------|------------|---------------|--------------------|
| 000736386      | FT SPEC FIN & | 000736386        | BNY MELLON | 53,953        | 0                  |

FINANCIAL OPP FUND

SIGNATURES

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 14, 2017  
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\* Print the name and title of each signing officer under his or her signature.