

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

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Address of Principal Executive Offices (Number, Street, City, State, Zip Code)

W. Scott Jardine  
First Trust Portfolios L.P.  
120 East Liberty Drive, Suite 400  
Wheaton, Illinois 60187

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Name and Address (Number, Street, City, State, Zip Code) of Agent for Service

(630) 765-8000

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Registrant's Telephone Number, including Area Code

Date of fiscal year end: November 30  
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Date of reporting period: July 1, 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 & 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 & 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: JAIME ARDILA	Management	Split	For
1B.	ELECTION OF CLASS II DIRECTOR: RICHARD P. STRUBEL	Management	Split	For
1C.	ELECTION OF CLASS II DIRECTOR: 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 & 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: JAIME ARDILA	Management	Split	For
1B.	ELECTION OF CLASS II DIRECTOR: RICHARD P. STRUBEL	Management	Split	For
1C.	ELECTION OF CLASS II DIRECTOR: 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 1 MICHAEL C. MAUER 2 ROBERT RYDER	Management	For For	For 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.  
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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 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

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MEDLEY CAPITAL CORPORATION  
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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 1 MR. BROOK TAUBE 2 MS. KARIN H.GARVEY 3 MR. JOHN E. MACK	Management	For For For	For For 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

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PENNANTPARK INVESTMENT CORPORATION  
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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

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NEW MOUNTAIN FINANCE CORPORATION  
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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

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 TRIPLEPOINT VENTURE GROWTH BDC CORP.  
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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 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

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 MAIN STREET CAPITAL CORPORATION  
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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 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 & 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 1 ALBERT G. PASTINO 2 C. MICHAEL JACOBI	Management	For For	For 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 & 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 & 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 1 JOSHUA T. DAVIS 2 BRUCE R. BILGER	Management	For For	For 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 & 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 & 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 1 PAUL ECHUASSE 2 STEVEN REIFF	Management	For For	For 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 1 ALVIN MURSTEIN 2 HENRY L. AARON	Management	For For	For 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.