# 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

\_\_\_\_\_

Exact Name of Registrant as Specified in Declaration of Trust

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

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

(630) 765-8000

\_\_\_\_\_

Registrant's Telephone Number, including Area Code

Date of fiscal year end: November 30

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

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

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

HERCULES CAPITAL	INC					
SECURITY TICKER SYMBOL ISIN RECORD DATE CITY / COUNTRY SEDOL(S)	/ United States	VOTE DEAI	DATE RECON DATE DLINE DATE	934423 15-Api	1-2016 3079 - r-2016	Management
ITEM	PROPOSAL		PROPOS BY	SED	VOTE	MANAGEN RECOMMENI
1A.	ELECTION OF DIRECTOR:	MANUEL A.	Managem			
1B.	ELECTION OF DIRECTOR:	JOSEPH F.	Managem	nent	Split	For
2.	HOFFMAN APPROVE, ON AN ADVISOR THE COMPANY'S NAMED EX OFFICER COMPENSATION.		Managem	nent	Split	For
3.	RATIFICATION OF PRICEWATERHOUSECOOPERS SERVE AS OUR INDEPENDENT ACCOUNTING FIRM FOR THE	ENT PUBLIC HE FISCAL	Managem	nent	Split	For
ACCOUNT NUMBER	ACCOUNT NAME	ACCOUNT	CUSTODIAN			SHARES
000736386	FT SPEC FIN & FINANCIAL OPP FUND		BNY MELLON			0
HERCULES CAPITAL	INC					
SECURITY TICKER SYMBOL ISIN RECORD DATE CITY / COUNTRY SEDOL(S)	427096508 HTGC US4270965084 15-Apr-2016 / United States		DATE RECON DATE DLINE DATE	15-Ap	1-2016 3079 -	Management

			PROPO	)SED		MANAGEI
ITEM	PROPOSAL		B)	<u>′</u>	VOTE	RECOMMENI
1A.	ELECTION OF DIRECTOR: HENRIQUEZ	MANUEL A.	Manage	ement	Split	For
1B.	ELECTION OF DIRECTOR: HOFFMAN	JOSEPH F.	Manage	ement	Split	For
2.	APPROVE, ON AN ADVISOR THE COMPANY'S NAMED EX OFFICER COMPENSATION.		Manage	ement	Split	For
3.	RATIFICATION OF PRICEWATERHOUSECOOPERS SERVE AS OUR INDEPENDE ACCOUNTING FIRM FOR TH YEAR ENDING DECEMBER 3	ENT PUBLIC HE FISCAL	Manage	ement	Split	For
ACCOUNT NUMBER	ACCOUNT NAME	ACCOUNT			SHARES	UNAVAILABLE SHARES
000736385	FT SFFO FUND FBO BNP		BNY MELLON		0	0
FS INVESTMENT COR	RPORATION					
ISIN	302635107 FSIC US3026351078 20-Apr-2016 / United	MEETING I MEETING I AGENDA HOLDING I VOTE DEAL	DATE	20-Ap	1-2016 4119 - M pr-2016	lanagement
SEDOL(S)	States	QUICK COI	ЭE			
ITEM	PROPOSAL		PROPO BY	Y	VOTE	MANAGEN RECOMMENI
1.	DIRECTOR		 Manage	 ement		
1.	1 GREGORY P. CHA	ANDLER		51110110	Split	For
	2 MICHAEL C. FOR				Split	
	3 BARRY H. FRANK	ζ			Split	For
	4 MICHAEL J. HEI				Split	For
2.	TO AUTHORIZE FLEXIBILI COMPANY, WITH THE APPR THE COMPANY'S BOARD OF DIRECTORS, TO OFFER AN SHARES DURING THE 12 M FOLLOWING STOCKHOLDER APPROVAL, AT A PRICE E THEN-CURRENT NET ASSET PER SHARE, SUBJECT TO LIMITATIONS DESCRIBED PROXY STATEMENT.	ROVAL OF THE TOTAL OF THE TOTAL OF THE		∍ment	Split	For
ACCOUNT	ACCOUNT NAME			BALLOT	SHARES	UNAVAILABLE SHARES
NUMBER						

3

SECURITY TICKER SYMBOL ISIN RECORD DATE CITY / COUNTRY	03761U106 AINV US03761U1060 10-Jun-2016 / United States	MEETING MEETING AGENDA HOLDING VOTE DEA	DATE RECON	DATE	9344 10-J	.ug-2016	Management
SEDOL(S)		QUICK CO	DE 				
ITEM	PROPOSAL					VOTE	MANAGEI RECOMMENI
1.	DIRECTOR  1 ELLIOT STEIN,  2 BRADLEY J. WEG  3 JAMES C. ZELTE	JR. CHSLER		Manag		For For For	For For For
2.	TO CONSIDER AND VOTE OF RATIFYING THE SELECTION PRICEWATERHOUSECOOPERS SERVE AS APOLLO INVESTOR CORPORATION'S INDEPENDENT REGISTERED PUBLIC ACCUPANT FOR THE FISCAL YEARS MARCH 31, 2017.	ON OF S LLP TO IMENT DENT DUNTING		Manag	ement	For	For
ACCOUNT NUMBER	ACCOUNT NAME	INTERNAL ACCOUNT	CUS	ΓΟDIAN	BALLC	T SHARES	UNAVAILABLE SHARES
000736385 000736386	FT SFFO FUND FBO BNP FT SPEC FIN & FINANCIAL OPP FUND				•		0
APOLLO INVESTMENT	CORPORATION						
SECURITY TICKER SYMBOL ISIN RECORD DATE CITY / COUNTRY		MEETING MEETING AGENDA HOLDING VOTE DEA	DATE RECON	DATE	9344 10-J	ug-2016 53197 - un-2016	Management
SEDOL(S)		QUICK CO					
ITEM	PROPOSAL				Y		MANAGEI RECOMMENI
1.	TO APPROVE A PROPOSAL AUTHORIZE FLEXIBILITY COMPANY, WITH APPROVAL BOARD OF DIRECTORS, TO SHARES OF ITS COMMON S (DURING THE NEXT 12 MC PRICE BELOW ITS THEN C ASSET VALUE PER SHARE CERTAIN LIMITATIONS DE THE ACCOMPANYING PROXY STATEMENT (INCLUDING TO CUMULATIVE NUMBER OF S	TO FOR THE LOF ITS SELL STOCK ONTHS) AT A CURRENT NET SUBJECT TO ESCRIBED IN Y THAT THE SHARES					For

SOLD PURSUANT TO SUCH AUTHORITY

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

	SALE).					
ACCOUNT NUMBER	ACCOUNT NAME	INTERNAL ACCOUNT	CUSTODIAN	BALLOT	SHARES	UNAVAILABLE SHARES
000736385 000736386	FT SFFO FUND FBO BNP FT SPEC FIN & FINANCIAL OPP FUND		BNY MELLON BNY MELLON			0
GLADSTONE INVESTM	ENT CORPORATION					
SECURITY TICKER SYMBOL ISIN RECORD DATE CITY / COUNTRY SEDOL(S)	376546107 GAIN US3765461070 06-Jun-2016 / United States		DATE RECON DATE DLINE DATE	93445	g-2016 2777 - M n-2016	anagement
			PROPO			MANAGEM
ITEM	PROPOSAL				VOTE	RECOMMEND
1.	DIRECTOR  1 PAUL W. ADELG  2 DAVID GLADSTO  3 JOHN H. OUTLA  TO APPROVE A PROPOSAL AUTHORIZE US, WITH TH OF OUR BOARD OF DIREC "BOARD"), TO ISSUE AN OF OUR COMMON STOCK ( NEXT 12 MONTHS) AT A ITS THEN CURRENT NET PER SHARE, SUBJECT TO LIMITATIONS SET FORTH	NE ND TO E APPROVAL TORS (THE D SELL SHARE DURING THE PRICE BELOW ASSET VALUE CERTAIN		ement	For For	For For For
ACCOUNT NUMBER	ACCOMPANY PROXY STATEACCOUNT NAME	INTERNAL ACCOUNT	CUSTODIAN	BALLOT	SHARES	UNAVAILABLE SHARES
000736386	FT SPEC FIN & FINANCIAL OPP FUND	000736386	BNY MELLON	142 <b>,</b> 53	3	0
GOLDMAN SACHS BDC,						
SECURITY TICKER SYMBOL ISIN RECORD DATE CITY / COUNTRY	38147U107 GSBD US38147U1079 04-Apr-2016	MEETING MEETING AGENDA HOLDING		Annua 29-Se 93438 04-Ap	p-2016	anagement

MANAGEM

PROPOSED

ITEM	PROPOSAL			ВУ		VOTE	RECOMMEND
1A.	ELECTION OF CLASS II	DIRECTOR:			ement		
1B.	ELECTION OF CLASS II RICHARD P. STRUBEL	DIRECTOR:		Manage	ement	Split	For
1C.	ELECTION OF CLASS II KATHERINE ("KAYSIE")			Manage	ement	Split	For
2.	TO AUTHORIZE THE COMP. THE APPROVAL OF THE COMPAND OF DIRECTORS, TO OTHERWISE ISSUE SHARE. COMPANY'S COMMON STOC. THE 12 MONTHS FOLLOWING AUTHORIZATION) AT A POTHER THEN-CURRENT NET AVALUE PER SHARE, PROVE THE NUMBER OF SHARES DOES NOT EXCEED 25% OF COMPANY'S THEN-OUTSTAND COMMON STOCK.	COMPANY'S CO SELL OR CS OF THE CK (DURING ING SUCH RICE BELOW ASSET TIDED THAT ISSUED OF THE		Manage	ment	Split	For
ACCOUNT NUMBER		ACCOUNT					S UNAVAILABLE SHARES
000736386	FT SPEC FIN & FINANCIAL OPP FUND						
GOLDMAN SACHS BDC							
SECURITY TICKER SYMBOL ISIN RECORD DATE CITY / COUNTRY SEDOL(S)	38147U107 GSBD US38147U1079 04-Apr-2016 / United States	MEETING MEETING AGENDA	TYPE DATE  RECON ADLINE  DDE	DATE DATE	04-Ap: 28-Sej	p-2016 7362 - r-2016 p-2016	Management
	DDODOGAL			PROPO	OSED		MANAGEM
ITEM  1A.	PROPOSAL  ELECTION OF CLASS II I  JAIME ARDILA						
1B.	ELECTION OF CLASS II	DIRECTOR:		Manage	∍ment	Split	For
1C.	ELECTION OF CLASS II KATHERINE ("KAYSIE")			Manage	ement	Split	For
2.	TO AUTHORIZE THE COMP. THE APPROVAL OF THE COMPANT OF DIRECTORS, TO THE THE STATE OTHERWISE ISSUE SHARE. COMPANY'S COMMON STOC. THE 12 MONTHS FOLLOWING AUTHORIZATION) AT A PROPERTY OF THE TOTAL OF THE TOTAL OTHER TOTAL OTH	COMPANY'S CO SELL OR CS OF THE CK (DURING NG SUCH		Manage	ement	Split	For

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	CUST	TODIAN	BALLOT	SHARES	UNAVAILABLE SHARES
000736385	FT SFFO FUND FBO BNP	736385	BNY	MELLON	22 <b>,</b> 255		0
COMPASS DIVERSIFIED	HOLDINGS						
TICKER SYMBOL ISIN RECORD DATE CITY / COUNTRY SEDOL(S)	20451Q104 CODI US20451Q1040 13-Oct-2016 / United States	MEETING MEETIN	DATE RECON DLINE DE	DATE DATE	93449 13-0c 29-No	v-2016 3228 - N t-2016 v-2016	Management
	PROPOSAL			PROP(	OSED Y	VOTE	MANAG RECOMME
1.	TO APPROVE AMENDMENTS AMENDED AND RESTATED TO AGREEMENT, AS AMENDED (THE "TRUST AGREEMENT" COMPASS DIVERSIFIED HO AUTHORIZE THE BOARD OF DIRECTORS OF COMPASS OF DIVERSIFIED HOLDINGS I "COMPANY") TO CREATE OF SERIES OF, AND TO ISSU TO SPACE LIMITS, SEE IN STATEMENT FOR FULL PRO	TRUST TO DATE TO DATE T), OF DLDINGS TO F GROUP LLC (THE CLASSES OR JE UP (DUITED	E	Manage	ement	For	For
2.	TO APPROVE AMENDMENTS FOURTH AMENDED AND RES OPERATING AGREEMENT (7 AGREEMENT") OF THE COM AUTHORIZE THE BOARD OF DIRECTORS OF THE COMPA CREATE CLASSES OR SERI TO ISSUE UP TO 50,000, PREFERRED INTERESTS IN COMPANY WITH SUCH TERM BE (DUE TO SPACE LI PROYY STATEMENT FOR FU PROPOSAL).	STATED IHE "LLC MPANY TO F ANY TO LES OF, AND OOO, TRUST N THE MS AS MAY IMITS, SEE		Manage	ement	For	For
3.	TO ADJOURN THE SPECIAL IF NECESSARY OR APPROPE ESTABLISH A QUORUM OR FURTHER SOLICITATION OF THERE ARE NOT SUFFI AT THE TIME OF THE SPECAST IN FAVOR OF PROPOSAL 2.	PRIATE, TO TO PERMIT DF PROXIES ICIENT VOTES ECIAL MEETIN	G	Manage	ement	For	For

ACCOUNT NUMBER	ACCOUNT NAME	INTERNAL ACCOUNT	CUS	TODIAN	BALLOT	SHARE	S UNAVAILABLE SHARES
000736386	FT SPEC FIN & FINANCIAL OPP FUND	000736386	BNY	MELLON	88,200	)	0
AMERICAN CAPITAL,							
SECURITY	02503Y103 ACAS US02503Y1038 17-Oct-2016	MEETING 1 MEETING 1 AGENDA HOLDING 1 VOTE DEAI	TYPE DATE RECON DLINE	DATE	Annua 15-De 93449 17-00	ec-2016 95246 - ct-2016	Management
ITEM	PROPOSAL			PROP(	OSED		MANAGEM RECOMMEND
1.	ADOPTION OF THE MERGE AGREEMENT.	R					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.			Manage	ement	For	For
4A.	ELECTION OF DIRECTOR UNTIL THE EARLIER OF EXPIRATION OF A ONE-Y AND THE COMPLETION OF TRANSACTIONS: MARY C.	THE EAR TERM THE		Manage	ement	For	For
4B.	ELECTION OF DIRECTOR UNTIL THE EARLIER OF EXPIRATION OF A ONE-Y AND THE COMPLETION OF TRANSACTIONS: NEIL M.	THE EAR TERM THE		Manage	ement	For	For
4C.	ELECTION OF DIRECTOR UNTIL THE EARLIER OF EXPIRATION OF A ONE-Y	THE		Manage	ement	For	For

	FT SFFO FUND FBO BNP					
ACCOUNT NUMBER		ACCOUNT	CUSTODIAN			SHARES
5.	RATIFICATION OF THE AF OF ERNST & YOUNG LLP T AMERICAN CAPITAL'S INI PUBLIC ACCOUNTANT FOR ENDING DECEMBER 31, 20	CO SERVE AS DEPENDENT THE YEAR D16.	Manage			For
4J.	ELECTION OF DIRECTOR TO UNTIL THE EARLIER OF TO EXPIRATION OF A ONE-YEARD THE COMPLETION OF TRANSACTIONS: DAVID G.	THE CAR TERM THE	Management		For	For
41.	ELECTION OF DIRECTOR TO UNTIL THE EARLIER OF TEXPIRATION OF A ONE-YEAND THE COMPLETION OF TRANSACTIONS: MALON WI	THE CAR TERM THE	Manage	ement	For	For
4н.	UNTIL THE EARLIER OF T EXPIRATION OF A ONE-YE AND THE COMPLETION OF	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			For	For
4G.	UNTIL THE EARLIER OF T	ATION OF A ONE-YEAR TERM HE COMPLETION OF THE ACTIONS: KENNETH D.			For	For
4F.	UNTIL THE EARLIER OF T	ION OF A ONE-YEAR TERM COMPLETION OF THE TIONS: SUSAN K.			For	For
4E.	ELECTION OF DIRECTOR TO UNTIL THE EARLIER OF TO EXPIRATION OF A ONE-YEARD THE COMPLETION OF TRANSACTIONS: KRISTEN	THE CAR TERM THE	Manage	ement	For	For
4D.	ELECTION OF DIRECTOR TO UNTIL THE EARLIER OF TO EXPIRATION OF A ONE-YEARD THE COMPLETION OF TRANSACTIONS: STAN LUN	THE CAR TERM THE	Manage	ement	For	For
4D.		R. HARPER	Manage	ment	For	Fo:

SECURITY 04010L103 MEETING TYPE Special TICKER SYMBOL ARCC MEETING DATE 15-Dec-2016 AGENDA 934494864 -HOLDING RECON DATE 17-Oct-2016 VOTE DEADLINE DATE 14-Dec-2016 US04010L1035 934494864 - Management TSTN RECORD DATE 17-Oct-2016
CITY / COUNTRY / United States OUICK CODE SEDOL(S) PROPOSED MANAGEM BY VOTE RECOMMEND PROPOSAL \_\_\_\_\_\_ 1. TO APPROVE THE ISSUANCE OF THE Management For For 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). TO APPROVE THE ISSUANCE OF THE 2. Management For For SHARES OF ARES CAPITAL COMMON STOCK TO BE ISSUED PURSUANT TO THE MERGER AGREEMENT IN ACCORDANCE WITH NASDAQ LISTING RULE REQUIREMENTS. For 3. TO APPROVE THE ADJOURNMENT OF Management For 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. \_\_\_\_\_\_ INTERNAL CUSTODIAN BALLOT SHARES UNAVAILABLE ACCOUNT NAME ACCOUNT NUMBER ACCOUNT \_\_\_\_\_\_ FT SFFO FUND FBO BNP 736385 BNY MELLON 500,000 FT SPEC FIN & 000736386 BNY MELLON 347,412 FINANCIAL OPP FUND 000736386 CM FINANCE INC. SECURITY 12574Q103 MEETING TYPE Annual
TICKER SYMBOL CMFN MEETING DATE 15-Dec-2016
ISIN US12574Q1031 AGENDA 934482718 PECORD DATE 08-Sep-2016 HOLDING RECON DATE 08-Sep-2016 934482718 - Management

CITY / COUNTRY		VOTE DEA	ADLINE	DATE	14-De	c-2016	
SEDOL(S)	States	QUICK CC	)DE				
ITEM	PROPOSAL			PROP	OSED Y		MANAGEN
1	DIRECTOR			Manag	ement		
	1 MICHAEL C. MAU 2 ROBERT RYDER	JER				For For	For For
2	TO APPROVE A PROPOSAL AUTHORIZE THE COMPANY, APPROVAL OF THE BOARD, OR OTHERWISE ISSUE UP THE COMPANY'S OUTSTANI COMMON STOCK AT AN OFF PRICE THAT IS BELOW THEN CURRENT NET ASSETPER SHARE.	, WITH THE , TO SELL TO 25% OF DING FERING HE COMPANY'S	\$	Manag	ement	For	For
ACCOUNT NUMBER	ACCOUNT NAME	ACCOUNT					S UNAVAILABLE SHARES
000736385 000736386	FT SFFO FUND FBO BNP	736385 000736386	BNY	MELLON			0
GOLUB CAPITAL BDC	, INC.						
SECURITY TICKER SYMBOL	38173M102 GBDC	MEETING MEETING			Annua 07-Fe		
ISIN RECORD DATE CITY / COUNTRY	US38173M1027 12-Dec-2016 / United	AGENDA HOLDING VOTE DEA	RECON ADLINE	DATE DATE			Management
SEDOL(S)	States	QUICK CC	)DE				
ITEM	PROPOSAL			PROP B		VOTE	MANAGEN RECOMMENI
1.1	ELECTION OF CLASS I DI	IRECTOR:		Manag	ement	For	For
1.2	ELECTION OF CLASS I DE	IRECTOR:		Manag	ement	For	For
2.	TO RATIFY THE SELECTION AND YOUNG LLP TO SERVE AS COMPANY'S INDEPENDENT REGISTERED PUBLIC ACCORDING FOR THE FISCAL YESEPTEMBER 30, 2017.	AS THE OUNTING EAR ENDING		,			
ACCOUNT NUMBER		INTERNAL ACCOUNT	CUST	ΓΟDΙΑΝ	BALLOT	SHARES	S UNAVAILABLE SHARES
000736385 000736386	FT SFFO FUND FBO BNP FT SPEC FIN & FINANCIAL OPP FUND	736385	BNY	MELLON	400,00	0	0

SECURITY TICKER SYMBOL ISIN RECORD DATE	US70806A1060	MEETING MEETING AGENDA HOLDING	DATE			b-2017 4969 - M	anagement
RECORD DATE CITY / COUNTRY		HOLDING VOTE DEA					
	States			311		o = :	
SEDOL(S)		QUICK CO	DE				
				PROPO	SED		MANAGE
ITEM	PROPOSAL				· ·		RECOMMEN
1.	DIRECTOR			Manage			
	1 ARTHUR H. PENN	Ŋ				For	For
2.	TO RATIFY THE SELECTION LLP TO SERVE AS THE COMMENT REGISTERED ACCOUNTING FIRM FOR THE YEAR ENDING SEPTEMBER	OMPANY'S D PUBLIC HE FISCAL		Manage	ment	For	For
ACCOUNT NUMBER	ACCOUNT NAME	INTERNAL ACCOUNT	CUST	 ODIAN	BALLOT	SHARES	UNAVAILABLE SHARES
000736385	FT SFFO FUND FBO BNP	736385	BNY i	MELLON	82 <b>,</b> 645		0
SECURITY TICKER SYMBOL ISIN RECORD DATE	58503F106 MCC US58503F1066 20-Dec-2016	MEETING MEETING AGENDA HOLDING	DATE			b-2017 8955 - M	anagement
CITY / COUNTRY			KECON ,			C-7010	
	/ United	VOTE DEA	DLINE 1	DATE	13-Fel	b-2017	
SEDOL(S)	/ United States	QUICK CO		DATE	13-Fel	b-2017	
SEDOL(S)				DATE  PROPO		b-2017 	 MANAGE
SEDOL(S)				PROPO	 SED	b-2017  VOTE	
	States 			PROPO	 SED		MANAGE RECOMMEN
ITEM	States  PROPOSAL  DIRECTOR  1 MR. BROOK TAUE	QUICK CO		PROPO BY	 SED	VOTE 	RECOMMEN
ITEM	PROPOSAL  DIRECTOR 1 MR. BROOK TAUE 2 MS. KARIN H.G	QUICK CO		PROPO BY	 SED	VOTE For For	RECOMMEN For For
ITEM	States  PROPOSAL  DIRECTOR  1 MR. BROOK TAUE	QUICK CO		PROPO BY	 SED	VOTE 	RECOMMEI  For For
ITEM	PROPOSAL  DIRECTOR 1 MR. BROOK TAUE 2 MS. KARIN H.G	QUICK CO  BE  ARVEY  ACK  MENT OF  THE  D PUBLIC  EDLEY  OR THE	2017.	PROPO BY Manage Manage	SED ment	VOTE  For  For  For	For For For For
ITEM	PROPOSAL  DIRECTOR  1 MR. BROOK TAUE  2 MS. KARIN H.GA  3 MR. JOHN E. MA  TO RATIFY THE APPOINTS ERNST & YOUNG LLP AS TINDEPENDENT REGISTERED ACCOUNTING FIRM FOR ME CAPITAL CORPORATION FO	QUICK CO  BE  ARVEY  ACK  MENT OF  THE  D PUBLIC  EDLEY  OR THE  PTEMBER 30,	2017.	PROPO BY Manage Manage	SED ment ment	VOTE  For For For	RECOMME For For For

FINANCIAL OPP FUND

PENNANTPARK INVES	STMENT CORPORATION					
SECURITY TICKER SYMBOL ISIN RECORD DATE CITY / COUNTRY			TE	93451 30-No	eb-2017 14971 - N ov-2016	Management
SEDOL(S)	States	QUICK CODE				
			PROP	POSED		MANAGE
ITEM 	PROPOSAL			3Y 		
1.	DIRECTOR  1 MR. MARSHALL  2 MR. SAMUEL L.		Manag	gement	For For	
2.	TO RATIFY THE SELECTION TO SERVE AS THE CONTROL OF	COMPANY'S ED PUBLIC THE FISCAL	Manag	ement	For	For
ACCOUNT NUMBER	ACCOUNT NAME	INTERNAL ACCOUNT	CUSTODIAN	BALLOT	: SHARES	UNAVAILABLE SHARES
000736385 000736386	FT SFFO FUND FBO BNP FT SPEC FIN & FINANCIAL OPP FUND					0
NEW MOUNTAIN FINA	ANCE CORPORATION					
SECURITY TICKER SYMBOL ISIN RECORD DATE CITY / COUNTRY	647551100 NMFC US6475511001 01-Mar-2017 / United States		ATE	93454 01-Ma	pr-2017 44152 - M ar-2017	Management
SEDOL(S)	States	QUICK CODE				
ITEM	PROPOSAL		PROP B	POSED BY	VOTE	MANAGE RECOMMEN
1.	DIRECTOR  1 STEVEN B. KLI  2 KURT J. WOLFG  3 ROME G. ARNOL	INSKY GRUBER		gement	For For For	For For For
2.	TO RATIFY THE APPOINT DELOITTE & TOUCHE LLP NEW MOUNTAIN FINANCE CORPORATION'S INDEPEN REGISTERED PUBLIC ACC FIRM FOR THE FISCAL Y. DECEMBER 31, 2017	P TO SERVE AS  NDENT COUNTING	Manag	gement	For	For

9							
ACCOUNT NUMBER	ACCOUNT NAME	ACCOUNT					UNAVAILABLE SHARES
	FT SFFO FUND FBO BNP						
TRIPLEPOINT VENTURE							
SECURITY	 89677Y100	MEETING T	 TYPE		Annua:	 1	
	TPVG	MEETING F	DATE		27-Ap	r-2017	
	US89677Y1001	AGENDA	//\		93456	7845 -	Management
	20-Mar-2017						riarragement
CITY / COUNTRY		VOTE DEAD					
SEDOL(S)		QUICK COL	)E				
ITEM	PROPOSAL	· <b></b>		PROPO	SED		MANAGEM RECOMMEND
1.	DIRECTOR			Manage	ment		_
	1 JAMES P. LABE					For	For
2.	TO RATIFY THE SELECTIC DELOITTE & TOUCHE LLP THE COMPANY'S INDEPEND REGISTERED PUBLIC ACCOFIRM FOR THE FISCAL YEDECEMBER 31, 2017.	TO SERVE AS DENT DUNTING		Manage	ment	For	For
NUMBER	ACCOUNT NAME	ACCOUNT					UNAVAILABLE SHARES
000736385	FT SFFO FUND FBO BNP FT SPEC FIN & FINANCIAL OPP FUND	736385	BNY M	MELLON	349,85	6	0
 MAIN STREET CAPITAL	CORPORATION						
SECURITY	56035L104	MEETING T	TYPE		Annua	 1	
TICKER SYMBOL	MAIN	MEETING D				y-2017	
	US56035L1044	AGENDA	//\		_		Management
	03-Mar-2017		PECON D	ארב			Management
	/ United States	HOLDING F VOTE DEAD	LINE D	ATE	28-Api	r-2017	
SEDOL(S)		QUICK COD			=		
ITEM	PROPOSAL			PROPO BY	SED	VOTE	MANAGEM RECOMMEND
1A.	ELECTION OF DIRECTOR: APPLING, JR.				ment		
1B.	ELECTION OF DIRECTOR: CANON	JOSEPH E.		Manage	ment	For	For
1C.	ELECTION OF DIRECTOR: FRENCH	ARTHUR L.		Manage	ment	For	For
1D.	ELECTION OF DIRECTOR:	J. KEVIN		Manage	ment	For	For

GRIFFIN ELECTION OF DIRECTOR: JOHN E. 1E. Management For For JACKSON 1F. ELECTION OF DIRECTOR: BRIAN E. Management For For ELECTION OF DIRECTOR: STEPHEN B. 1G. Management For For SOLCHER 1H. ELECTION OF DIRECTOR: VINCENT D. Management For For FOSTER 2. PROPOSAL TO RATIFY THE Management For For APPOINTMENT OF GRANT THORNTON, LLP AS OUR INDEPENDENT REGISTERED PUBLIC ACCOUNTING FIRM FOR THE YEAR ENDED DECEMBER 31, 2017. 3. ADVISORY NON-BINDING APPROVAL OF Management For For EXECUTIVE COMPENSATION. ADVISORY NON-BINDING APPROVAL OF Management 1 Year 3 Years 4. FREQUENCY OF FUTURE ADVISORY VOTES ON EXECUTIVE COMPENSATION. \_\_\_\_\_\_ ACCOUNT ACCOUNT NAME INTERNAL CUSTODIAN BALLOT SHARES UNAVAILABLE ACCOUNT NUMBER SHARES FT SFFO FUND FBO BNP 736385 BNY MELLON 39,044 000736385 FT SPEC FIN & 000736386 BNY MELLON 10,063 000736386 FINANCIAL OPP FUND TRIANGLE CAPITAL CORPORATION TICKER SYMBOL TCAP
ISIN US8958481090
RECORD DATE 23-Feb-2017
CITY / COUNTRY / United MEETING TYPE Annual MEETING DATE 03-May-2017 AGENDA 934544633 HOLDING RECON DATE 23-Feb-2017
VOTE DEADLINE DATE 02-May-2017 934544633 - Management States SEDOL(S) QUICK CODE \_\_\_\_\_\_ MANAGEM PROPOSED BY VOTE RECOMMEND PROPOSAL ELECTION OF DIRECTOR: E. ASHTON Management For For 1B. ELECTION OF DIRECTOR: STEVEN C. Management For For LILLY ELECTION OF DIRECTOR: GARLAND S. 1C. Management For For TUCKER, III 1D. ELECTION OF DIRECTOR: W. MCCOMB Management For For DUNWOODY

1E.	ELECTION OF DIRECTOR:	MARK M.		Managem	ent	For		For
1F.	ELECTION OF DIRECTOR: GOLDSTEIN	ELECTION OF DIRECTOR: BENJAMIN S. GOLDSTEIN		Management		For		For
1G.	ELECTION OF DIRECTOR: MULHERN	MARK F.		Managem	ent	For		For
1н.	ELECTION OF DIRECTOR: RICH, JR.	SIMON B.		Manageme	ent	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 APPRO COMPENSATION OF OUR NA EXECUTIVE OFFICERS.	NAMED		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.			Manageme	ent	1 Year	<u>c</u>	3 Years
5.	TO APPROVE THE COMPANY OMNIBUS INCENTIVE PLAN			Managem	ent	For		For
ACCOUNT NUMBER	ACCOUNT NAME	ACCOUNT					SHAR	RES
	FT SFFO FUND FBO BNP FT SPEC FIN & FINANCIAL OPP FUND	736385	BNY ME	LLON :	295,548	3	0	
CAPITALA FINANCE C	CORP							
SECURITY TICKER SYMBOL ISIN RECORD DATE CITY / COUNTRY SEDOL(S)		MEETING MEETIN	DATE RECON DA DLINE DA	TE	93454 02-Ma	y-2017 5433 - r-2017	Managem	nent
				PROPOSI	ED			MANAGEM
ITEM 	PROPOSAL							RECOMMEND
1.	DIRECTOR 1 R. CHARLES MOY	YER		Management		For		For
2.	THE RATIFICATION OF THE OF ERNST & YOUNG LLP A INDEPENDENT REGISTERED	AS THE		Manageme	ent	For		For

ACCOUNTING FIRM FOR CAPITALA

Management For

For

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

AUTHORIZE CAPITALA FINANCE CORP.
TO SELL SHARES OF ITS COMMON

TO APPROVE A PROPOSAL TO

3.

	SELL SHARES OF IT STOCK AT A PRICE OR CAPITALA FINANCE COR CURRENT NET ASSET VA SHARE IN ONE OR MORE IN EACH CASE SUBJECT APPROVAL OF ITS BOAR DIRECTORS AND COMPLITHE (DUE TO SPACE PROXY STATEMENT FOR PROPOSAL).	PRICES BELOW P.'S THEN LUE PER OFFERINGS, TO THE D OF ANCE WITH LIMITS, SEE				
ACCOUNT NUMBER	ACCOUNT NAME	INTERNAL ACCOUNT				SHARES
000736386	FT SPEC FIN & FINANCIAL OPP FUND					0
KCAP FINANCIAL, I	NC.					
SECURITY TICKER SYMBOL ISIN RECORD DATE CITY / COUNTRY	KCAP US48668E1010 09-Mar-2017	HOLDING F VOTE DEAD	RECON DATE	93454 09-Mai	y-2017 9734 - Ma r-2017	anagement
SEDOL(S)	PROPOSAL		PROP(	OSED Y	VOTE	MANAGEM RECOMMEND
1.	DIRECTOR  1 ALBERT G. PA  2 C. MICHAEL J	STINO		ement		For
2.	TO APPROVE THE 2017 INCENTIVE PLAN.	EQUITY	Manage	Management For		For
3.	TO APPROVE THE 2017 EMPLOYEE DIRECTOR PL		Manage	ement	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.		ement	1 Year	1 Year
6.	& YOUNG LLP AS THE I REGISTERED PUBLIC AC	TO RATIFY THE SELECTION OF ERNST & YOUNG LLP AS THE INDEPENDENT REGISTERED PUBLIC ACCOUNTANT OF THE COMPANY FOR THE YEAR ENDING			For	For

ACCOUNT NUMBER	ACCOUNT NAME	INTERNAL ACCOUNT	CUSTODIAN	BALLOT	SHARES	UNAVAILABLE SHARES
000736386	FT SPEC FIN & FINANCIAL OPP FUND	000736386	BNY MELLON	340,47	72	0
BLACKROCK CAPITAL	INVESTMENT CORPORATION					
SECURITY TICKER SYMBOL ISIN RECORD DATE CITY / COUNTRY SEDOL(S)	092533108 BKCC US0925331086 06-Mar-2017 / United States		DATE RECON DATE ADLINE DATE	93455 06-Ma	ay-2017 56830 - M ar-2017	Management
ITEM	PROPOSAL			OSED Y	VOTE	MANAGEN RECOMMENI
1.	DIRECTOR 1 JOHN R. BARON 2 JERROLD B. HA		Manag	gement	For For	For For
2.	TO RATIFY THE SELECTION DELOITTE & TOUCHE LLP THE COMPANY'S INDEPEN REGISTERED PUBLIC ACCURISM FOR THE YEAR END DECEMBER 31, 2017.	TO SERVE AS DENT OUNTING	-	gement	For	For
ACCOUNT NUMBER	ACCOUNT NAME	INTERNAL ACCOUNT	CUSTODIAN	BALLOT	SHARES	UNAVAILABLE SHARES
000736385	FT SFFO FUND FBO BNP	736385	BNY MELLON	103 <b>,</b> 90	00	0
BLACKROCK CAPITAL	INVESTMENT CORPORATION					
SECURITY TICKER SYMBOL ISIN RECORD DATE CITY / COUNTRY SEDOL(S)	/ United States	VOTE DEA	DATE RECON DATE ADLINE DATE	93456 06-Ma 04-Ma	ay-2017 50536 - M ar-2017 ay-2017	fanagement
ITEM	PROPOSAL		PROP	OSED	VOTE	MANAGEN RECOMMENI
1.		TO FOR THE L OF ITS O SELL OR S OF ITS THE NEXT BELOW THE				

ASSET VALUE PER SHARE IN ONE OR

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

	SPECIAL MEETING.					
ACCOUNT NUMBER	ACCOUNT NAME	ACCOUNT				UNAVAILABLE SHARES
000736385	FT SFFO FUND FBO BNF					
CYS INVESTMENTS,	INC					
ISIN	12673A108 CYS US12673A1088 15-Mar-2017	MEETING MEETING AGENDA HOLDING	TYPE DATE RECON DATI ADLINE DATI	Annu 12-M	al ay-2017 64370 - ar-2017	Management
				PROPOSED		 MANA(
ITEM	PROPOSAL			BY		RECOMME
2	DIRECTOR  1 KEVIN E. GRA 2 TANYA S. BED 3 KAREN HAMMON 4 STEPHEN P. J 5 R.A. REDLING 6 DALE A. REIS 7 JAMES A. STE 8 DAVID A. TYS  ADVISORY VOTE TO APP COMPENSATION OF THE NAMED EXECUTIVE OFFI  TO CONSIDER AND ACT PROPOSAL TO RATIFY, APPROVE THE SELECTIC DELOITTE & TOUCHE LI COMPANY'S INDEPENDEN REGISTERED PUBLIC ACT	ANT DER JONAS SSHAFER, JR. SS GRN SON, PHD PROVE THE COMPANY'S CCERS UPON A CONFIRM AND ON OF JP AS THE JCCOUNTING	Ma Ma	anagement	For For For For For For	For For For For For
ACCOUNT	FIRM FOR THE FISCAL DECEMBER 31, 2017	INTERNAL		AN BALLO	T SHARES	UNAVAILABLE
000736385	FT SFFO FUND FBO BNP FT SPEC FIN & FINANCIAL OPP FUND	736385	BNY MELI		 80	SHARES 0 0 0
CAPSTEAD MORTGAGE	CORPORATION					
SECURITY TICKER SYMBOL ISIN	14067E506 CMO US14067E5069	MEETING MEETING AGENDA			ay-2017	Management

24-Mar-2017

RECORD DATE

HOLDING RECON DATE

24-Mar-2017

VOTE DEADLINE DATE 16-May-2017 CITY / COUNTRY / United States SEDOL(S) QUICK CODE \_\_\_\_\_\_ PROPOSED MANAGEM VOTE RECOMMEND PROPOSAL \_\_\_\_\_\_ For ELECTION OF DIRECTOR: JOHN L. Management For 1A (JACK) BERNARD 1 B ELECTION OF DIRECTOR: JACK Management For For BIEGLER ELECTION OF DIRECTOR: MICHELLE P. 1 C Management For For GOOLSBY 1D ELECTION OF DIRECTOR: GARY KEISER Management For 1E ELECTION OF DIRECTOR: Management For For CHRISTOPHER W. MAHOWALD ELECTION OF DIRECTOR: MICHAEL G. 1 F For For Management O'NEIL ELECTION OF DIRECTOR: PHILLIP A. 1 G Management For For REINSCH 1H ELECTION OF DIRECTOR: MARK S. Management For For TO APPROVE ON AN ADVISORY (NON-02 Management For For BINDING) BASIS OUR 2016 EXECUTIVE COMPENSATION. TO HOLD AN ADVISORY (NON-BINDING) 0.3 Management 1 Year 1 Year VOTE ON THE FREQUENCY OF STOCKHOLDER VOTES ON OUR EXECUTIVE COMPENSATION. 04 TO RATIFY THE APPOINMENT OF Management For For ERNST & YOUNG LLP AS OUR INDEPENDENT REGISTERED PUBLIC ACCOUNTING FIRM FOR THE FISCAL YEAR ENDING DECEMBER 31, 2017. \_\_\_\_\_\_ INTERNAL CUSTODIAN BALLOT SHARES UNAVAILABLE ACCOUNT ACCOUNT NAME NUMBER ACCOUNT SHARES \_\_\_\_\_\_ FT SFFO FUND FBO BNP 736385 BNY MELLON 69,500 000736385 Ω FT SPEC FIN & 000736386 BNY MELLON 39,000 FINANCIAL OPP FUND SOLAR CAPITAL LTD 
 SECURITY
 83413U100
 MEETING TYPE
 Annual

 TICKER SYMBOL
 SLRC
 MEETING DATE
 17-May-2017

 ISIN
 US83413U1007
 AGENDA
 934568518 

 RECORD DATE
 22-Mar-2017
 HOLDING RECON DATE
 22-Mar-2017

 CITY / COUNTRY
 / United
 VOTE DEADLINE DATE
 16-May-2017
 934568518 - Management

States SEDOL(S) QUICK CODE

SEDOL(S)	Onick code							
ITEM	PROPOSAL			В			MANAGEN RECOMMENI	
1.	DIRECTOR				ement			
	1 MR. BRUCE SPOR	HLER		_		For	For	
	2 MR. STEVEN HOO	CHBERG				For	For	
2.	TO APPROVE A PROPOSAL AUTHORIZE THE COMPANY SHARES OF ITS COMMON PRICE OR PRICES BELOW COMPANY'S THEN CURREN' ASSET VALUE PER SHARE MORE OFFERINGS, IN EACH SUBJECT TO THE APPROVE BOARD OF DIRECTORS AND COMPLIANCE WITH THE COMPLIANCE WITH THE PROXIMATION, THE PROVE PERTAINING THERETO (IN WITHOUT LIMITATION, TO NUMBER OF SHARES ISSUE NOT EXCEED 25% OF THE THEN OUTSTANDING COMMONIMMEDIATELY PRIOR TO DEFERING).	TO SELL STOCK AT A THE T NET IN ONE OR CH CASE AL OF ITS D ONDITIONS Y STATEMENT NCLUDING, HAT THE ED DOES COMPANY'S ON STOCK		Management		For	For	
ACCOUNT NUMBER	ACCOUNT NAME	ACCOUNT					SHARES	
000736385	FT SFFO FUND FBO BNP FT SPEC FIN & FINANCIAL OPP FUND	736385	BNY	MELLON	295 <b>,</b> 7	09	0	
SOLAR SENIOR CAPI	TAL LTD							
SECURITY TICKER SYMBOL ISIN RECORD DATE CITY / COUNTRY SEDOL(S)	/ United States	MEETING MEETING AGENDA HOLDING VOTE DEA	DATE  RECON ADLINE  ODE	DATE	9345 22-M 16-M	lay-2017 68520 - lar-2017 lay-2017	Management	
					OSED		MANAGEN	
ITEM	PROPOSAL						RECOMMENI	
1.	DIRECTOR 1 MR. MICHAEL S 2 MR. LEONARD A	. GROSS			ement	For For	For	
2.	TO APPROVE A PROPOSAL AUTHORIZE THE COMPANY SHARES OF ITS COMMON PRICE OR PRICES BELOW COMPANY'S THEN CURREN' ASSET VALUE PER SHARE	TO SELL STOCK AT A THE T NET		Manag	ement	For	For	

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).

	OFFERING).				
ACCOUNT NUMBER	ACCOUNT NAME	INTERNAL ACCOUNT	CUSTODIAN	BALLOT SHARES	UNAVAILABLE SHARES
000736386	FT SPEC FIN & FINANCIAL OPP FUND	000736386	BNY MELLON	25 <b>,</b> 000	0
TPG SPECIALTY LEN	DING, INC.				
SECURITY	87265K102	MEETING	 TYPE	Annual	
TICKER SYMBOL	TSLX	MEETING	DATE	18-May-2017	
ISIN	US87265K1025	AGENDA		934566285 - M	anagement
RECORD DATE	24-Mar-2017			24-Mar-2017	
CITY / COUNTRY	/ United States	VOTE DEA	DLINE DATE	17-May-2017	
SEDOL(S)	beaces	QUICK CO	DE		
			PROP	 OSED	MANAGEI
ITEM	PROPOSAL		В	Y VOTE	RECOMMENI
1.	DIRECTOR		Manag	ement	
	1 JOSHUA EASTER	LY		For	For
	2 MICHAEL FISHM	AN		For	For
2.	TO RATIFY THE SELECTI LLP AS THE COMPANY'S REGISTERED PUBLIC ACC FIRM FOR THE FISCAL Y DECEMBER 31, 2017.	INDEPENDENT OUNTING	Manag	ement For	For
ACCOUNT NUMBER	ACCOUNT NAME	ACCOUNT	CUSTODIAN	BALLOT SHARES	UNAVAILABLE SHARES
000736385 000736386	FT SFFO FUND FBO BNP	736385		156,455 50,296	
TPG SPECIALTY LEN	DING, INC.				
SECURITY	87265K102	MEETING	TYPE	Special	<b>-</b>
TICKER SYMBOL	TSLX	MEETING	DATE	18-May-2017	
ISIN	US87265K1025	AGENDA		934576147 - M	anagement
RECORD DATE	24-Mar-2017		RECON DATE	24-Mar-2017	
CITY / COUNTRY	/ United States	VOTE DEA	DLINE DATE	17-May-2017	
SEDOL(S)		QUICK CO	DE		

ITEM	PROPOSAL		:			MANAGEI RECOMMENI
1.	TO APPROVE A PROPOSAL AUTHORIZE THE COMPANY OR OTHERWISE ISSUE SH. COMMON STOCK AT A PRIVITE THEN CURRENT NET PER SHARE IN ONE OR MOFFERINGS, IN EACH CATO THE APPROVAL OF IT. DIRECTORS AND SUBJECT CONDITIONS SET FORTH ACCOMPANYING PROXY ST.	TO SELL ARES OF ITS CE BELOW ASSET VALUE ORE SE SUBJECT S BOARD OF TO THE IN THE				For
ACCOUNT NUMBER	ACCOUNT NAME	ACCOUNT		BALLOT		UNAVAILABLE SHARES
000736385 000736386	FT SFFO FUND FBO BNP FT SPEC FIN & FINANCIAL OPP FUND		BNY MELLON	156,45	5	
GOLDMAN SACHS BDC	, INC.					
SECURITY TICKER SYMBOL ISIN RECORD DATE CITY / COUNTRY		MEETING I MEETING I AGENDA HOLDING F VOTE DEAL	ATE	93456	y-2017 0346 - M	anagement
SEDOL(S)		QUICK COL	)E			
ITEM	PROPOSAL					MANAGEI RECOMMENI
1A.	ELECTION OF DIRECTOR:					
1B.	ELECTION OF DIRECTOR:	ANN B. LANE	Mana	gement	For	For
2.	PRICEWATERHOUSECOOPER THE COMPANY'S INDEPEND REGISTERED PUBLIC ACC	TO RATIFY THE SELECTION OF PRICEWATERHOUSECOOPERS LLP AS THE COMPANY'S INDEPENDENT REGISTERED PUBLIC ACCOUNTING FIRM FOR THE FISCAL YEAR ENDING DECEMBER 31, 2017.		gement	For	For
ACCOUNT NUMBER	ACCOUNT NAME	INTERNAL ACCOUNT	CUSTODIAN	BALLOT	SHARES	UNAVAILABLE SHARES
	FT SFFO FUND FBO BNP FT SPEC FIN & FINANCIAL OPP FUND		BNY MELLON BNY MELLON	•		0
ARES CAPITAL CORP	ORATION					
SECURITY TICKER SYMBOL	04010L103 ARCC	MEETING I		Annua 22-Ma	 1 y-2017	

ISIN RECORD DATE CITY / COUNTRY SEDOL(S)	US04010L1035 09-Mar-2017 / United States	AGENDA HOLDING I VOTE DEAI	RECON DLINE DE	DATE DATE	09-Ma: 19-Ma:	r-2017 y-2017	
	PDODOGAT			PROPC	OSED		MANAGEN
ITEM	PROPOSAL				Y 		
1A.	ELECTION OF DIRECTOR: AROUGHETI (CLASS I DIF TERM OF 3 YEARS EXPIRI	RECTOR FOR A		Manage	ment	For	For
1B.	ELECTION OF DIRECTOR: ANN TORRE BATES (CLASS I DIRECTOR FOR A TERM OF 3 YEARS EXPIRING IN 2020)			Management For		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 LLP AS THE COMPANY'S REGISTERED PUBLIC ACCORDANCE FIRM FOR THE YEAR ENDINGEROUSE STATES TO SECOND	INDEPENDENT OUNTING		Manage	ment	For	For
ACCOUNT NUMBER	ACCOUNT NAME	ACCOUNT					S UNAVAILABLE SHARES
	FT SFFO FUND FBO BNP FT SPEC FIN & FINANCIAL OPP FUND	736385	BNY	MELLON	500,000	0	
ARES CAPITAL CORP	ORATION						
SECURITY TICKER SYMBOL ISIN RECORD DATE CITY / COUNTRY	04010L103  ARCC US04010L1035 09-Mar-2017 / United States	MEETING MEETIN	DATE RECON	DATE	934560 09-Ma:	y-2017 0598 - r-2017	Management
SEDOL(S)		QUICK CO					
ITEM	PROPOSAL			PROPC BY	Y	VOTE	
1.	TO AUTHORIZE THE COMPATHE APPROVAL OF ITS BOUTECTORS, TO SELL OR ISSUE SHARES OF ITS CONTROL OF THE INTERPOLATION OF THE INTERPOLATION OF THE SET FORTH IN THE PROXY FOR THE SPECIAL MEETING STOCKHOLDERS (INCLUDING TO SPACE LIMITS, SEE FORTH IN TO FULL PROXY TO STATEMENT FOR FULL PROXY TO STATEMENT FOR FULL PROXY TO SPACE LIMITS, SEE FOR THE STATEMENT FOR FULL PROXY THE STATEMENT FULL P	ANY, WITH OARD OF OTHERWISE OMMON W ITS THEN UE PER LIMITATIONS Y STATEMENT NG OF NG, (DUE PROXY OPOSAL).		Manage	ement		

ACCOUNT NUMBER	ACCOUNT NAME	ACCOUNT			ES UNAVAILABLE SHARES
	FT SFFO FUND FBO BNP FT SPEC FIN & FINANCIAL OPP FUND	736385	BNY MELLON	500,000	0
COMPASS DIVERSIFI					-
SECURITY TICKER SYMBOL ISIN RECORD DATE CITY / COUNTRY SEDOL(S)	CODI US20451Q1040 27-Mar-2017 / United States	MEETING MEETING AGENDA HOLDING OVOTE DEAL	TYPE DATE RECON DATE DLINE DATE DE	Annual 24-May-201 934587037 - 27-Mar-201 23-May-201	- Management 7 7
ITEM	PROPOSAL		PROP B	POSED BY VOTE	
1.	DIRECTOR  1 JAMES J. BOTT  2 GORDON M. BUR	IGLIERI		gement For For	For
2.	TO APPROVE, ON A NON-ADVISORY BASIS, THE RAPPROVING THE COMPENS OUR EXECUTIVE OFFICER DISCLOSED IN THE PROX ("SAY-ON-PAY VOTE").	RESOLUTION SATION OF RS AS	Manag	gement For	For
3.	TO RECOMMEND, ON A NO AND ADVISORY BASIS, T FREQUENCY OF THE SAY-VOTE ("SAY-ON-FREQUEN	CHE -ON-PAY	Manag	gement 1 Yea	ar 1 Year
4.	TO RATIFY THE APPOINT GRANT THORNTON LLP TO INDEPENDENT AUDITOR F COMPANY AND THE TRUST FISCAL YEAR ENDING DE	SERVE AS OR THE FOR THE CEMBER 31, 2		gement For	For
ACCOUNT NUMBER	ACCOUNT NAME	INTERNAL ACCOUNT			ES UNAVAILABLE SHARES
000736386	FT SPEC FIN & FINANCIAL OPP FUND				
	NVESTMENT CORPORATION				
SECURITY TICKER SYMBOL ISIN RECORD DATE CITY / COUNTRY	858568108 SCM US8585681088 05-Apr-2017		DATE RECON DATE	Annual 24-May-201 934591896 - 05-Apr-201 23-May-201	- Management 7
SEDOL(S)		QUICK CO	DE 		

ITEM	PROPOSAL		PROP B		VOTE	MANAGEM RECOMMEND
1.	DIRECTOR  1 JOSHUA T. DAV  2 BRUCE R. BILG		Manag	ement	For For	
2.	TO APPROVE A PROPOSAL AUTHORIZE THE COMPANY, APPROVAL OF THE BOARD, OR OTHERWISE ISSUE UP THE COMPANY'S OUTSTANI COMMON STOCK AT AN OFI PRICE THAT IS BELOW THEN CURRENT NAV PER STANDARD THE COMPANY NAV PER STAN	, WITH THE , TO SELL TO 25% OF DING FERING HE COMPANY'S	Management		For	For
3.	TO APPROVE THE ADJOURN THE ANNUAL MEETING, IN OR APPROPRIATE, TO SOM ADDITIONAL PROXIES.	F NECESSARY	Manag	ement	For	For
ACCOUNT NUMBER	ACCOUNT NAME	INTERNAL ACCOUNT	CUSTODIAN	BALLO	T SHARES	UNAVAILABLE SHARES
	FT SFFO FUND FBO BNP FT SPEC FIN & FINANCIAL OPP FUND					
ANNALY CAPITAL MA						
SECURITY TICKER SYMBOL ISIN RECORD DATE CITY / COUNTRY			DATE	9345 28-M	ay-2017 84500 - Ma ar-2017	anagement
SEDOL(S)		QUICK COI	DE 			
ITEM	PROPOSAL		PROP B	Y	VOTE	MANAGEM RECOMMEND
1A.	ELECTION OF DIRECTOR: BOVICH					
1B.	ELECTION OF DIRECTOR: GREEN	JONATHAN D.	Manag	ement	For	For
1C.	ELECTION OF DIRECTOR: SCHAEFER	JOHN H.	Manag	ement	For	For
2.	ADVISORY APPROVAL OF COMPANY'S EXECUTIVE COMPENSATION.	ГНЕ	Manag	ement	For	For
3.	ADVISORY VOTE ON THE I OF FUTURE ADVISORY VO APPROVE THE COMPANY'S COMPENSATION.	TES TO	Manag	ement	1 Year	1 Year
4.	RATIFICATION OF THE A	PPOINTMENT	Manag	ement	For	For

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

ACCOUNT NUMBER	ACCOUNT NAME	INTERNAL ACCOUNT	CUSTODIAN	BALLOT SHARES	UNAVAILABLE SHARES
	FT SFFO FUND FBO BNP FT SPEC FIN & FINANCIAL OPP FUND				
TCP CAPITAL CORP.					
CITY / COUNTRY	87238Q103 TCPC US87238Q1031 27-Mar-2017 / United States	HOLDING : VOTE DEA	DATE RECON DATE DLINE DATE		Management
SEDOL(S)		QUICK CO			
ITEM	PROPOSAL		В	OSED Y VOTE	
1.	DIRECTOR  1 KATHLEEN A. CO 2 ERIC J. DRAUT 3 M. FREDDIE RE: 4 PETER E. SCHW 5 BRIAN F. WRUB 6 HOWARD M. LEVI 7 RAJNEESH VIG	ISS AB LE		For	For For For For For
2.	TO AUTHORIZE THE COMPA APPROVAL OF ITS BOARD DIRECTORS, TO SELL SHA COMPANY'S COMMON STOCE THE NEXT 12 MONTHS) AN PRICES BELOW ITS THEN NET ASSET VALUE PER SE OR MORE OFFERINGS, SUE CERTAIN LIMITATIONS SE THE PROXY STATEMENT	OF ARES OF THE K (DURING I A PRICE OR CURRENT HARE IN ONE BJECT TO	-	ement For	For
ACCOUNT NUMBER	ACCOUNT NAME	ACCOUNT		BALLOT SHARES	SHARES
000736385 000736386	FT SFFO FUND FBO BNP FT SPEC FIN & FINANCIAL OPP FUND	736385	BNY MELLON	383,728	0
OFS CAPITAL CORPO	RATION				
SECURITY TICKER SYMBOL ISIN RECORD DATE CITY / COUNTRY	US67103B1008 11-Apr-2017	MEETING MEETING AGENDA HOLDING VOTE DEA	DATE RECON DATE	Annual 06-Jun-2017 934603502 - N 11-Apr-2017 05-Jun-2017	Management

SEDOL(S)	QUICK CODE							
ITEM	PROPOSAL		PROPOSED BY V		MANAGEM RECOMMEND			
1.	DIRECTOR 1 ROBERT J. CRES 2 BILAL RASHID				for For	For For		
2.	BY THE AUDIT COMMITTEE BOARD OF DIRECTORS OF LLP AS OUR INDEPENDENT REGISTERED PUBLIC ACCO	GISTERED PUBLIC ACCOUNTING RM FOR THE YEAR ENDING			For	For		
ACCOUNT NUMBER	ACCOUNT NAME	INTERNAL ACCOUNT	CUSTODIAN	BALLOT S	SHARES	UNAVAILABLE SHARES		
000736385 000736386	FT SFFO FUND FBO BNP FT SPEC FIN & FINANCIAL OPP FUND		BNY MELLON BNY MELLON					
THL CREDIT, INC.								
SECURITY TICKER SYMBOL ISIN RECORD DATE CITY / COUNTRY	=		ATE	21-Apr	258 - M -2017	anagement		
SEDOL(S)		QUICK COI						
ITEM	PROPOSAL				JOTE	MANAGEM RECOMMENE		
1.	DIRECTOR  1 DAVID K. DOWNE  2 CHRISTOPHER J.  3 E.P. GIAMBASTI  4 NANCY HAWTHORN  5 JAMES D. KERN  6 DEBORAH MCANEN  7 SAM W. TILLING	FLYNN EANI, JR. HE	Manage	ement I I I I I	For For For For For For	For For For 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	For		
3.	APPROVAL OF A PROPOSAL AUTHORIZE THE COMPANY AND ISSUE DEBT WITH WADEBT CONVERTIBLE INTO ITS COMMON STOCK AT AN OR CONVERSION PRICE THE TIME SUCH WARRANTS OR	TO OFFER ARRANTS OR SHARES OF I EXERCISE	Manage	ement I	For	For		

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 Management For For THE ANNUAL MEETING, IF NECESSARY OR APPROPRIATE, TO SOLICIT

ADDITIONAL PROXIES. \_\_\_\_\_ INTERNAL CUSTODIAN BALLOT SHARES UNAVAILABLE ACCOUNT ACCOUNT NAME ACCOUNT NUMBER SHARES

FT SFFO FUND FBO BNP 736385 BNY MELLON 550,000 FT SPEC FIN & 000736386 BNY MELLON 187,618 FINANCIAL OPP FUND 0 0

#### HARVEST CAPITAL CREDIT CORPORATION

SECURITY 41753F109 MEETING TYPE Annual HCAP

TICKER SYMBOL 13-Jun-2017 MEETING DATE 934605506 - Management

ISIN US41753F1093
RECORD DATE 18-Apr-2017
CITY / COUNTRY / United AGENDA 934605506 -HOLDING RECON DATE 18-Apr-2017 VOTE DEADLINE DATE 12-Jun-2017

States

SEDOL(S) QUICK CODE

PROPOSED MANAGEM BY RECOMMEND VOTE PROPOSAL

For ELECTION OF DIRECTOR: DORIAN B. Management For KLEIN

1B. ELECTION OF DIRECTOR: JACK G. Management For For

LEVIN

TO RATIFY THE SELECTION OF 2. Management For For

PRICEWATERHOUSECOOPERS LLP TO

SERVE AS THE COMPANY'S

INDEPENDENT REGISTERED PUBLIC ACCOUNTING FIRM FOR THE COMPANY FOR THE FISCAL YEAR ENDING

DECEMBER 31, 2017.

INTERNAL CUSTODIAN BALLOT SHARES UNAVAILABLE ACCOUNT ACCOUNT NAME NUMBER

FT SPEC FIN & 000736386 BNY MELLON 16,699 0

FINANCIAL OPP FUND

#### 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

CITY / COUNTRY		VOTE DEADLINE DATE 14-Jun-2017					
SEDOL(S)	States	QUICK CO	DDE				
ITEM	PROPOSAL			PROPOSED BY			MANAGE: RECOMMEN
1.	DIRECTOR			Manag			
	1 PAUL ECHUASSE						For
	2 STEVEN REIFF					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 ADJOURN THE ANNUAL MEETING, IN OR APPROPRIATE, TO SOM ADDITIONAL PROXIES.	NECESSARY		Management		For	For
ACCOUNT NUMBER		ACCOUNT					UNAVAILABLE SHARES
000736385 000736386	FT SFFO FUND FBO BNP FT SPEC FIN & FINANCIAL OPP FUND		BNY	MELLON	62 <b>,</b> 877		0
MEDALLION FINANCI	AL CORP.						
SECURITY	583928106	MEETING	TYPE		Annua	 1	
TICKER SYMBOL	MFIN	MEETING	DATE		22-Ju	n-2017	
ISIN	US5839281061				93461	0189 - N	Management
RECORD DATE	24-Apr-2017	HOLDING	RECON DATE		24-Ap	r-2017	
CITY / COUNTRY		VOTE DEA	ADLINE	DATE	21-Ju:	n-2017	
SEDOL(S)	States	QUICK CO	DDE				
ITEM	PROPOSAL		PROPOSED BY		VOTE	MANAGEI RECOMMENI	
1.	DIRECTOR	AT		Manag	ement	П.	
	1 ALVIN MURSTEIN 2 HENRY L. AARON					For For	
	Z RENKI L. AAROI	.VI				t OT	LOT
2.	PROPOSAL TO RATIFY THI APPOINTMENT OF MAZARS MEDALLION FINANCIAL CO INDEPENDENT REGISTERED ACCOUNTING FIRM	USA LLP AS ORP.'S		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	CUSI	rodian	BALLOT	SHARES	UNAVAILABLE SHARES
000736386	FT SPEC FIN &	000736386	BNY	MELLON	53 <b>,</b> 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

\_\_\_\_\_

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

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James M. Dykas, President and  $% \left( 1\right) =\left( 1\right) \left( 1\right) \left($ 

Chief Executive Officer

Date July 14, 2017

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<sup>\*</sup> Print the name and title of each signing officer under his or her signature.