

FIRST TRUST SPECIALTY FINANCE & FINANCIAL OPPORTUNITIES FUND

Form N-PX

July 24, 2012

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, 2011 - June 30, 2012  
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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

COMPANY NAME	MEETING DATE	CUSIP
HORIZON TECHNOLOGY FINANCE CORPORATION	12-JUL-11	44045A-102
VOTE	MANAGEMENT FOR / AGAINST	PROPOSALS AT "SPECIAL MEETING OF SHAREHOLDER
Echo Voted -- Against	For	1) Authorize the Company, with approval of its board directors, to sell shares of its common stock (during next 12 months) at a price below the then current net asset value per share, subject to certain limitations.

COMPANY NAME	MEETING DATE	CUSIP
APOLLO INVESTMENT CORPORATION	02-AUG-11	03761U-106
VOTE	MANAGEMENT FOR / AGAINST	PROPOSALS AT "ANNUAL MEETING OF SHAREHOLDER
Echo Voted -- For	For	1.1) Elect Frank Puleo as director for a term ending 12/31/11
Echo Voted -- For	For	1.2) Elect Carl Spielvogel as director for a term ending 12/31/11
Echo Voted -- For	For	1.3) Elect Jeanette Loeb as director for a term ending 12/31/11
Echo Voted -- For	For	2) Ratify the selection of PwC (PricewaterhouseCoopers) as the independent registered public accounting firm for the year ending 12/31/11
Echo Voted -- For	For	3) Authorize flexibility for Company, with approval of the Board to sell shares of common stock (during next 12 months) at a price below its then current net asset value per share, subject to limitations described herein (including cumulative number of shares sold pursuant to such a plan does not exceed 25% of its then outstanding common shares immediately prior to sale).

COMPANY NAME	MEETING DATE	CUSIP
GLADSTONE INVESTMENT CORPORATION	04-AUG-11	376546-107
VOTE	MANAGEMENT FOR / AGAINST	PROPOSALS AT "ANNUAL MEETING OF SHAREHOLDER
Echo Voted -- For	For	1.1) Elect Michela English as director for a term ending 12/31/11
Echo Voted -- For	For	1.2) Elect Anthony Parker as director for a term ending 12/31/11
Echo Voted -- For	For	1.3) Elect George Stelljes III (co-Vice Chairman & director for a term ending 2014)

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Echo Voted -- For	For	2) Elect Gerard Mead as director
Echo Voted -- For	For	3) Approve a proposal to authorize us, with the approval of the Board of Directors, to issue and sell shares of common stock (during the next 12 months) at a price then current net asset value per share subject to certain limitations, all as more fully described in the prospectus statement.
Echo Voted -- For	For	4) Ratify the selection of PwC (PricewaterhouseCoopers) as the independent registered public accounting firm.

COMPANY NAME	MEETING DATE	CUSIP
MEDICAL ACTION INDUSTRIES INC.	11-AUG-11	58449L-100
VOTE	MANAGEMENT FOR / AGAINST	PROPOSALS AT "ANNUAL MEETING OF SHAREHOLDERS"
Echo Voted -- For	For	1.1) Elect William Burke as director for term ending 12/31/11
Echo Voted -- For	For	1.2) Elect Kenneth Davidson as director for term ending 12/31/11
Echo Voted -- For	For	2) Ratify the selection of Grant Thornton LLP as independent registered public accounting firm
Echo Voted -- For	For	3) Approve, on an advisory basis, the compensation of executive officers, as disclosed in the company's Proxy Statement for the 2011 Annual Meeting of Shareholders pursuant to the compensation disclosure rules of the Securities and Exchange Commission.
Echo Voted -- For	1 year	4) Select the preferred voting frequency -- one year, two years, three years or abstain -- as to when the company will hold a shareholder vote to approve the compensation of named executive officers.

COMPANY NAME	MEETING DATE	CUSIP
SARATOGA INVESTMENT CORP.	27-SEP-11	80349A-208
VOTE	MANAGEMENT FOR / AGAINST	PROPOSALS AT "ANNUAL MEETING OF SHAREHOLDERS"
Echo Voted -- For	For	1.1) Elect G. Cabell Williams as director
Echo Voted -- For	For	1.2) Elect Michael Grisius as director
Echo Voted -- Against	For	2) Approve a proposal to authorize the Company to sell or otherwise issue the Company's common stock at a price then current net asset value per share.

COMPANY NAME	MEETING DATE	CUSIP
FULL CIRCLE CAPITAL CORPORATION	08-DEC-11	359671-104
VOTE	FOR / AGAINST MANAGEMENT	PROPOSALS AT "ANNUAL MEETING OF SHAREHOLDERS"
For	For	1) Elect Edward Cohen as director
For	For	2) Ratify the selection of Rothstein, Kass & Company as the independent registered public accounting firm to serve as the independent registered public accounting firm.
For	For	3) Approve a proposal to authorize the Company, with the approval of its Board of Directors, to sell shares of common stock.

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common stock at a price or prices below the Company current net asset value per share in one or more of subject to certain conditions as set forth in the proxy statement.

COMPANY NAME	MEETING DATE	CUSIP
PROSPECT CAPITAL CORPORATION	08-DEC-11	74348T-102
VOTE	FOR / AGAINST MANAGEMENT	PROPOSALS AT "ANNUAL MEETING OF SHAREHOLDERS"
unvoted - custodian administrative error	For	1.1) Elect William Grep as director for term ending 12/31/12
unvoted - custodian administrative error	For	2) Ratify the selection of BDO USA, LLP as independent registered public accounting firm
unvoted - custodian administrative error	For	3) Authorize the Company, with approval of its Board of Directors, to sell shares of its common stock (during the next 12 months) at a price or prices below the Company's current net asset value (NAV) per share in one or more offerings subject to certain conditions as set forth in the accompanying proxy statement (including that the number of shares sold on any given date does not exceed 25% of the outstanding common stock immediately prior to such sale)

COMPANY NAME	MEETING DATE	CUSIP
GOLUB CAPITAL BDC, INC.	02-FEB-12	38173M-102
VOTE	MANAGEMENT FOR / AGAINST	PROPOSALS AT "ANNUAL MEETING OF SHAREHOLDERS"
For	For	1.1) Elect John Bailey as director for a term ending 12/31/12
For	For	1.2) Elect Kenneth Bernstein as director for a term ending 12/31/12
For	For	2) Ratify the selection of McGladrey & Pullen, LLP as independent registered public accounting firm.

COMPANY NAME	MEETING DATE	CUSIP
GLADSTONE CAPITAL CORPORATION	16-FEB-12	376535-100
VOTE	MANAGEMENT FOR / AGAINST	PROPOSALS AT "ANNUAL MEETING OF SHAREHOLDERS"
Echo Voted -- For	For	1.1) Elect Terry Lee Brubaker as director for a term ending 12/31/12
Echo Voted -- For	For	1.2) Elect David A.R. Dullum as director for a term ending 12/31/12
Echo Voted -- For	For	2) Approve a proposal to authorize the Company, with approval of the Board of Directors, to issue and sell up to 1,000,000 shares of its common stock (during the next 12 months), at a price or prices below its then current net asset value per share, subject to certain limitations set forth in the proxy statement more fully described in the proxy statement.
Echo Voted -- For	For	3) Ratify audit committee to select PriceWaterHouseCoopers as independent public accounting firm

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COMPANY NAME	MEETING DATE	CUSIP
PENNANTPARK FLOATING RATE CAP	28-FEB-12	70806A-106
VOTE	MANAGEMENT FOR / AGAINST	PROPOSALS AT "SPECIAL MEETING OF SHAREHOLDER
Echo Voted -- For	For	1) Consider and vote upon a proposal to authorize f for us, with the approval of the Board of Directors shares of our common stock, during the next 12 mont subject to certain limitations described in the joi statement.

COMPANY NAME	MEETING DATE	CUSIP
PENNANTPARK FLOATING RATE CAP	28-FEB-12	70806A-106
VOTE	MANAGEMENT FOR / AGAINST	PROPOSALS AT "ANNUAL MEETING OF SHAREHOLDER
Echo Voted -- For	For	1.1) Elect Marshall Brozost as director for a term
Echo Voted -- For	For	1.2) Elect Samuel Katz as director for a term endin
Echo Voted -- For	For	2) Ratify the selection of KPMG as the independent public accounting firm.

COMPANY NAME	MEETING DATE	CUSIP
PENNANTPARK INVESTMENT CORPORATION	28-FEB-12	708062-104
VOTE	MANAGEMENT FOR / AGAINST	PROPOSALS AT "ANNUAL MEETING OF SHAREHOLDER
Echo Voted -- For	For	1.1) Elect Adam Bernstein as director for a term en
Echo Voted -- For	For	1.2) Elect Jeffrey Flug as director for a term endi
Echo Voted -- For	For	2) Ratify the selection of KPMG as the independent public accounting firm.

COMPANY NAME	MEETING DATE	CUSIP
PENNANTPARK INVESTMENT CORPORATION	28-FEB-12	708062-104
VOTE	MANAGEMENT FOR / AGAINST	PROPOSALS AT "SPECIAL MEETING OF SHAREHOLDER
Echo Voted -- For	For	1) Consider and vote upon a proposal to authorize f for us, with the approval of the Board of Directors shares of our common stock, during the next 12 mont subject to certain limitations described in the joi statement.

COMPANY NAME	MEETING DATE	CUSIP
MEDLEY CAPITAL CORP.	09-MAR-12	58503F-106
VOTE	MANAGEMENT FOR	PROPOSALS AT "ANNUAL MEETING OF SHAREHOLDER

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/ AGAINST

Echo Voted -- For	For	1.1) Elect Andrew Fentress as director for a term e
Echo Voted -- For	For	1.2) Elect Richard Dorfman as director for a term e
Echo Voted -- For	For	2) Ratify selection of Ernsy & Young LLP as company independent public accounting firm
Echo Voted -- For	For	3) Approve authorization of Medley Capital Corporat the approval of its Board of Directors, to sell sha common stock at a price or prices below Medley Capi Corporation's then current net asset value per shar or more offerings, subject to certain conditions as in the proxy statement (including, without limitati that the number of shares issued does not exceed 25 Company's then outstanding common stock, at a price but no more than 20% below, its then current net as
Echo Voted -- For	For	4) Approve authorization of Medley Capital Corporat issue securities to subscribe to, convert to, or pu shares of Medley Capital Corporation's common stock more offerings.

COMPANY NAME	MEETING DATE	CUSIP
----- MVC CAPITAL, INC.	12-MAR-12	553829-102
VOTE	MANAGEMENT FOR / AGAINST	PROPOSALS AT "ANNUAL MEETING OF SHAREHOLDER
Echo Voted -- For	For	1.1) Elect Emilio Dominianni as director
Echo Voted -- For	For	1.2) Elect Gerald Hellerman as director
Echo Voted -- For	For	1.3) Elect Warren Holtsberg as director
Echo Voted -- For	For	1.4) Elect Robert Knapp as director
Echo Voted -- For	For	1.5) Elect William Taylor as director
Echo Voted -- For	For	1.6) Elect Michael Tokarz (Chairman) as director
Echo Voted -- For	For	2) Ratify the selection of Ernst & Young LLP as the independent registered public accounting firm.

COMPANY NAME	MEETING DATE	CUSIP
----- FIFTH STREET FINANCE CORP.	04-APR-12	31678A-103
VOTE	MANAGEMENT FOR / AGAINST	PROPOSALS AT "ANNUAL MEETING OF SHAREHOLDER
Echo Voted -- For	For	1.1) Elect Leonard Tannenbaum as director for term
Echo Voted -- For	For	1.2) Elect Bernard Berman as director for term endi
Echo Voted -- For	For	2) Ratify the selection of PricewaterhouseCoopers L independent registered public accounting firm.
Echo Voted -- For	For	3) Amend the investment advisory agreement between Company and its investment adviser in order to chan structure of the income incentive fee payable to th investment adviser in a manner that would reduce th "rate" required for the investment adviser to ear, an the income incentive fee.

COMPANY NAME	MEETING DATE	CUSIP
----- AMERICAN CAPITAL, LTD.	27-APR-12	02503Y-103
VOTE	MANAGEMENT FOR	PROPOSALS AT "ANNUAL MEETING OF SHAREHOLDER

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/ AGAINST

Echo Voted -- For	For	1.1) Elect Mary Baskin as director
Echo Voted -- For	For	1.2) Elect Neil Hahl as director
Echo Voted -- For	For	1.3) Elect Philip Harper as director
Echo Voted -- For	For	1.4) Elect John Koskinen as director
Echo Voted -- For	For	1.5) Elect Stan Lundine as director
Echo Voted -- For	For	1.6) Elect Kenneth Peterson as director
Echo Voted -- For	For	1.7) Elect Alvin Puryear as director
Echo Voted -- For	For	1.8) Elect Malon Wilkus as director
Echo Voted -- For	For	2) Adopt an amendment to the Third Amended and Restated Certificate of Incorporation to preserve certain tax attributes
Echo Voted -- For	For	3) Ratify Ernst & Young LLP as the independent registered public accounting firm for the fiscal year 2009.

COMPANY NAME	MEETING DATE	CUSIP
HATTERAS FINANCIAL CORP.	02-MAY-12	41902R-103
VOTE	MANAGEMENT FOR / AGAINST	PROPOSALS AT "ANNUAL MEETING OF SHAREHOLDERS"
For	For	1.1) Elect Michael Hough (Chairman & CEO) as director
For	For	1.2) Elect Benjamin Hough (President & COO) as director
For	For	1.3) Elect David Berson as director
For	For	1.4) Elect Ira Kawaller as director
For	For	1.5) Elect Jeffrey Miller as director
For	For	1.6) Elect Thomas Wren as director
For	For	2) Ratify the selection of Ernst & Young LLP as the independent registered public accounting firm.
For	For	3) Approve, on an advisory basis, the compensation of executive officers, as disclosed in the company's Proxy Statement for the 2012 Annual Meeting of Shareholders pursuant to the compensation disclosure rules of the Securities and Exchange Commission.

COMPANY NAME	MEETING DATE	CUSIP
TRIANGLE CAPITAL CORPORATION	02-MAY-12	895848-109
VOTE	MANAGEMENT FOR / AGAINST	PROPOSALS AT "ANNUAL MEETING OF SHAREHOLDERS"
For	For	1.1) Elect Garland Tucker, III (Chairman, CEO, & President) as director
For	For	1.2) Elect Brent Burgess as director
For	For	1.3) Elect Stephen Lilly as director
For	For	1.4) Elect W. McComb Dunwoody as director
For	For	1.5) Elect Mark Gambill as director
For	For	1.6) Elect Benjamin Goldstein as director
For	For	1.7) Elect Simon Rich, Jr. as director
For	For	1.8) Elect Sherwood Smith, Jr. as director
For	For	2) Approve a proposal to authorize the Company, pursuant to the approval of its board of directors, to sell shares of common stock or warrants, options or rights to acquire common stock during the next year at a price below the Company's then current net asset value (i.e., book value) per share.
For	For	3) Approve the Company's 2012 Cash Incentive Plan.

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For

For

4) Approve the increase in the maximum aggregate number of shares of the Company's common stock available for sale under the Amended and Restated 2007 Equity Incentive Plan.

COMPANY NAME	MEETING DATE	CUSIP
GLADSTONE COMMERCIAL CORPORATION	03-MAY-12	376536-108
VOTE	MANAGEMENT FOR / AGAINST	PROPOSALS AT "ANNUAL MEETING OF SHAREHOLDERS"
Echo Voted -- For	For	1.1) Elect Terry Lee Brubaker as director
Echo Voted -- For	For	1.2) Elect A.R. Dullum as director
Echo Voted -- For	For	1.3) Elect Jack Reilly as director
Echo Voted -- For	For	2) Ratify the selection of PwC (PricewaterhouseCoopers) as the independent registered public accounting firm.

COMPANY NAME	MEETING DATE	CUSIP
SOLAR CAPITAL LTD.	03-MAY-12	83413U-100
VOTE	MANAGEMENT FOR / AGAINST	PROPOSALS AT "ANNUAL MEETING OF SHAREHOLDERS"
For	For	1.1) Elect Michael Gross as director
For	For	1.2) Elect Leonard Potter as director
For	For	2) Authorize the Company, with approval of its Board of Directors, to sell shares of its common stock at a price of \$10.00 or prices below the Company's then current net asset value per share in one or more offerings. The number of shares sold shall not exceed 25% of the Company's then outstanding common stock immediately prior to each such offering.

COMPANY NAME	MEETING DATE	CUSIP
NEW MOUNTAIN FINANCE CORPORATION	08-MAY-12	647551-100
VOTE	MANAGEMENT FOR / AGAINST	PROPOSALS AT "ANNUAL MEETING OF SHAREHOLDERS"
For	For	1) Elect David Ogens as director
For	For	2) Authorize, on a pass-through basis, New Mountain Finance Holdings, LLC to amend and restate the Investment Management and Management Agreement between New Mountain Finance Holdings, LLC and New Mountain Finance Advisers BDC.

COMPANY NAME	MEETING DATE	CUSIP
CYS INVESTMENTS, INC.	10-MAY-12	12673A-108
VOTE	MANAGEMENT FOR / AGAINST	PROPOSALS AT "ANNUAL MEETING OF SHAREHOLDERS"
For	For	1.1) Elect Kevin Grant as director
For	For	1.2) Elect Tanya Beder as director
For	For	1.3) Elect Douglas Crocker, II as director



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For	For	1.4) Elect Jeffrey Hughes as director
For	For	1.5) Elect Stephen Jonas as director
For	For	1.6) Elect R.A. Redlingshafer as director
For	For	1.7) Elect James Stern as director
For	For	1.8) Elect David Tyson, Ph.D as director
For	For	2) Approve, on an advisory basis, the compensation of executive officers, as disclosed in the company's Proxy Statement for the 2012 Annual Meeting of Shareholders pursuant to the compensation disclosure rules of the Securities and Exchange Commission.
1 year	1 year	3) Select the preferred voting frequency -- one year, two years, three years or abstain -- as to when the company will hold a shareholder vote to approve the compensation of named executive officers.
For	For	4) Ratify the selection of Deloitte & Touche LLP as independent registered public accounting firm

COMPANY NAME	MEETING DATE	CUSIP
MARKEL CORP.	14-MAY-12	570535-104

VOTE	MANAGEMENT FOR / AGAINST	PROPOSALS AT "ANNUAL MEETING OF SHAREHOLDERS"
unvoted - custodian administrative error	For	1.1) Elect J. Alfred Broaddus, Jr. as director
unvoted - custodian administrative error	For	1.2) Elect Douglas Eby as director
unvoted - custodian administrative error	For	1.3) Elect Stewart Kasen as director
unvoted - custodian administrative error	For	1.4) Elect Alan Kirshner (Chairman & CEO) as director
unvoted - custodian administrative error	For	1.5) Elect Lemuel Lewis as director
unvoted - custodian administrative error	For	1.6) Elect Darrell Martin as director
unvoted - custodian administrative error	For	1.7) Elect Anthony Markel (Vice-Chairman & ex-COO) as director
unvoted - custodian administrative error	For	1.8) Elect Steven Markel (Vice Chairman) as director
unvoted - custodian administrative error	For	1.9) Elect Jay Weinberg as director
unvoted - custodian administrative error	For	1.10) Elect Debora Wilson as director
unvoted - custodian administrative error	For	2) Ratify the selection of KPMG LLP as the independent registered public accounting firm.
unvoted - custodian administrative error		3) Adoption of the Company's 2012 Equity Incentive Compensation Plan

COMPANY NAME	MEETING DATE	CUSIP
NGP CAPITAL RESOURCES COMPANY	16-MAY-12	62912R-107

VOTE	MANAGEMENT FOR / AGAINST	PROPOSALS AT "ANNUAL MEETING OF SHAREHOLDERS"
Echo Voted -- For	For	1.1) Elect David Albin as director
Echo Voted -- For	For	1.2) Elect Lon Kile as director
Echo Voted -- For	For	2) Ratify the selection of Ernst & Young LLP as the independent registered public accounting firm.

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Echo Voted -- For For independent registered public accounting firm.  
 3) Adjourn the annual meeting, if necessary, to solicit additional proxies if there are not sufficient votes to approve items #1 & #2

COMPANY NAME	MEETING DATE	CUSIP
FIDELITY NATIONAL FINANCIAL, INC.	23-MAY-12	31620R-105
VOTE	MANAGEMENT FOR / AGAINST	PROPOSALS AT "ANNUAL MEETING OF SHAREHOLDERS"
Echo Voted -- For	For	1.1) Elect Frank Willey as director
Echo Voted -- For	For	1.2) Elect Willie Davis as director
Echo Voted -- For	For	2) Approve, on an advisory basis, the compensation of executive officers, as disclosed in the company's Proxy Statement for the 2012 Annual Meeting of Shareholders pursuant to the compensation disclosure rules of the Securities and Exchange Commission.
Echo Voted -- For	For	3) Ratify the selection of KPMG LLP as the independent registered public accounting firm.

COMPANY NAME	MEETING DATE	CUSIP
ANNALY CAPITAL MANAGEMENT, INC.	24-MAY-12	035710-409
VOTE	MANAGEMENT FOR / AGAINST	PROPOSALS AT "ANNUAL MEETING OF SHAREHOLDERS"
Echo Voted -- For	For	1.1) Elect W. Denahan-Norris as director
Echo Voted -- For	For	1.2) Elect Michael Haylon as director
Echo Voted -- For	For	1.3) Elect Donnell Segalas as director
Echo Voted -- For	For	1.4) Elect Jonathan Green as director
Echo Voted -- For	For	2) Ratify the selection of Ernst & Young LLP as the independent registered public accounting firm.

COMPANY NAME	MEETING DATE	CUSIP
NORTHSTAR REALTY FINANCE CORP.	24-MAY-12	66704R-100
VOTE	MANAGEMENT FOR / AGAINST	PROPOSALS AT "ANNUAL MEETING OF SHAREHOLDERS"
Echo Voted -- For	For	1.1) Elect C. Preston Butcher as director
Echo Voted -- For	For	1.2) Elect Stephen Cummings as director
Echo Voted -- For	For	1.3) Elect David Hamamoto (Chairman & CEO) as director
Echo Voted -- For	For	1.4) Elect Judith Hannaway as director
Echo Voted -- For	For	1.5) Elect Oscar Junquera as director
Echo Voted -- For	For	1.6) Elect Wesley Minami as director
Echo Voted -- For	For	1.7) Elect Louis Paglia as director
Echo Voted -- For	For	1.8) Elect Sridhar Sambamurthy as director
Echo Voted -- For	For	2) Approve the NorthStar Realty Finance Corp. Amended Restated 2004 Omnibus Stock Incentive Plan
Echo Voted -- For	For	3) Approve, on an advisory basis, the compensation of executive officers, as disclosed in the company's Proxy Statement for the 2012 Annual Meeting of Shareholders

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Echo Voted -- For For pursuant to the compensation disclosure rules of the Securities and Exchange Commission.  
 4) Ratify the selection of Grant Thornton LLP as independent registered public accounting firm

COMPANY NAME	MEETING DATE	CUSIP
COMPASS DIVERSIFIED HOLDINGS	30-MAY-12	20451Q-104
VOTE	MANAGEMENT FOR / AGAINST	PROPOSALS AT "ANNUAL MEETING OF SHAREHOLDERS"
Echo Voted -- For	For	1.1) Elect C. Sean Day as director
Echo Voted -- For	For	1.2) Elect D. Eugene Ewing as director
Echo Voted -- For	For	2) Approve, on an advisory basis, the compensation of executive officers, as disclosed in the company's Proxy Statement for the 2012 Annual Meeting of Shareholders pursuant to the compensation disclosure rules of the Securities and Exchange Commission.
Echo Voted -- For	For	4) Ratify the selection of Grant Thornton LLP as independent registered public accounting firm

COMPANY NAME	MEETING DATE	CUSIP
HERCULES TECHNOLOGY GROWTH CAPITAL, INC.	30-MAY-12	427096-508
VOTE	MANAGEMENT FOR / AGAINST	PROPOSALS AT "ANNUAL MEETING OF SHAREHOLDERS"
Echo Voted -- For	For	1) Elect Allyn Woodward, Jr. as director
Echo Voted -- For	For	2) Ratify the selection of PwC (PricewaterhouseCoopers) as the independent registered public accounting firm
Echo Voted -- For	For	3) Approve, on an advisory basis, the compensation of executive officers, as disclosed in the company's Proxy Statement for the 2012 Annual Meeting of Shareholders pursuant to the compensation disclosure rules of the Securities and Exchange Commission.
Echo Voted -- For	For	4) Authorize the Company, with approval of the board of directors, to sell or otherwise issue up to 20% of the Company's outstanding common stock at a price below the Company's then current net asset value per share
Echo Voted -- For	For	5) Authorize the Company, with approval of the board of directors, to offer and issue debt with warrants or convertible into shares of its common stock at an exercise conversion price that, at the time such warrants or convertible debt are issued, will not be less than the value per share but may be below the Company's then NAV per share.

COMPANY NAME	MEETING DATE	CUSIP
MCG CAPITAL CORPORATION	30-MAY-12	58047P-107
VOTE	MANAGEMENT FOR / AGAINST	PROPOSALS AT "ANNUAL MEETING OF SHAREHOLDERS" [ OPPOSITION BALLOT]

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Echo Voted -- For	For	1) Elect A. Hugh Ewing, III as director
Echo Voted -- For	For	2) Elect Kenneth O'Keefe as director
Echo Voted -- For	For	3) Elect Gavin Saitowitz as director
Echo Voted -- For	For	4) Ratify the selection of Ernst & Young LLP as the independent registered public accounting firm.
Echo Voted -- For	For	5) Approve, on an advisory basis, the compensation of executive officers, as disclosed in the company's Proxy Statement for the 2012 Annual Meeting of Shareholders pursuant to the compensation disclosure rules of the Securities and Exchange Commission.

COMPANY NAME	MEETING DATE	CUSIP
BLACKROCK KELSO CAPITAL CORPORATION	31-MAY-12	092533-108
VOTE	MANAGEMENT FOR / AGAINST	PROPOSALS AT "ANNUAL MEETING OF SHAREHOLDERS"
Echo Voted -- For	For	1.1) Elect William Mayer as director
Echo Voted -- For	For	1.2) Elect F. De Saint Phalle as director
Echo Voted -- For	For	2) Authorize flexibility for the Company, with approval of the Board of Directors, to sell or otherwise issue its common stock (during the next 12 months) at a price below its then current net asset value per share or more offerings, subject to certain limitations set forth in the proxy statement.
Echo Voted -- For	For	3) Ratify the selection of Deloitte & Touche LLP as independent registered public accounting firm

COMPANY NAME	MEETING DATE	CUSIP
ARES CAPITAL CORPORATION	04-JUN-12	04010L-103
VOTE	MANAGEMENT FOR / AGAINST	PROPOSALS AT "ANNUAL MEETING OF SHAREHOLDERS"
Echo Voted -- For	For	1.1) Elect Gregory Penske as director
Echo Voted -- For	For	1.2) Elect Robert Rosen as director
Echo Voted -- For	For	1.3) Elect Bennett Rosenthal as director
Echo Voted -- For	For	2) Ratify the selection of KPMG LLP as the independent registered public accounting firm.
Echo Voted -- For	For	3) Authorize the Company, with approval of the 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.

COMPANY NAME	MEETING DATE	CUSIP
FIDUS INVESTMENT CORP.	06-JUN-12	316500-107
VOTE	MANAGEMENT FOR / AGAINST	PROPOSALS AT "ANNUAL MEETING OF SHAREHOLDERS"
Echo Voted -- For	For	1) Elect Charles Hyman as director
Echo Voted -- For	For	2) Authorize the Company, pursuant to approval of the Board of Directors, to sell or otherwise issue shares of its common stock during the next year at a price below its then

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Echo Voted -- For For current net asset value per share, subject to certain conditions as set forth in the proxy statement.  
 3) Authorize the Company to issue warrants, options to subscribe to, convert to, or purchase the Company's stock in one or more offerings.

COMPANY NAME	MEETING DATE	CUSIP
THL CREDIT, INC.	07-JUN-12	872438-106
VOTE	MANAGEMENT FOR / AGAINST	PROPOSALS AT "ANNUAL MEETING OF SHAREHOLDERS"
Echo Voted -- For	For	1.1) Elect James Hunt as director
Echo Voted -- For	For	1.2) Elect Keith Hughes as director
Echo Voted -- For	For	2) Amend the Company's Amended and Restated Certificate of Incorporation to eliminate classification of the Board of Directors
Echo Voted -- For	For	3) Ratify the selection of PwC (PricewaterhouseCoopers) as the independent registered public accounting firm
Echo Voted -- For	For	4) Authorize the Company to sell or otherwise issue shares of the Company's outstanding common stock at a price of the Company's then current NAV.
Echo Voted -- For	For	5) Authorize the Company to offer and issue debt securities with warrants or debt convertible into shares of its common stock at an exercise or conversion price that, at the time the warrants or convertible debt are issued, will not be less than the market value per share but may be below the Company's then current NAV per share.

COMPANY NAME	MEETING DATE	CUSIP
MEDALLION FINANCIAL CORP.	08-JUN-12	583928-106
VOTE	MANAGEMENT FOR / AGAINST	PROPOSALS AT "ANNUAL MEETING OF SHAREHOLDERS"
Echo Voted -- For	For	1.1) Elect Stanley Kreitman as director
Echo Voted -- For	For	1.2) Elect Frederick Menowitz as director
Echo Voted -- For	For	1.3) Elect David Rudnick as director
Echo Voted -- For	For	2) Ratify the selection of Weisermazars LLP as the independent registered public accounting firm.
Echo Voted -- For	For	3) Approve, on an advisory basis, the compensation of executive officers, as disclosed in the company's Proxy Statement for the 2012 Annual Meeting of Shareholders pursuant to the compensation disclosure rules of the Securities and Exchange Commission.
Echo Voted -- 1 year	3 years	4) Select the preferred voting frequency -- one year, two years, three years or abstain -- as to when the company will hold a shareholder vote to approve the compensation of named executive officers.

COMPANY NAME	MEETING DATE	CUSIP
HORIZON TECHNOLOGY FINANCE CORPORATION	11-JUN-12	44045A-102
VOTE	MANAGEMENT FOR / AGAINST	PROPOSALS AT "ANNUAL MEETING OF SHAREHOLDERS"

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Echo Voted -- For	For	1.1) Elect Gerald Michaud as director
Echo Voted -- For	For	1.2) Elect Edmund Mahoney as director
Echo Voted -- For	For	1.3) Elect Elaine Sarsynski as director
Echo Voted -- For	For	2) Ratify the selection of McGladrey & Pullen, LLP independent registered public accounting firm.

COMPANY NAME	MEETING DATE	CUSIP
HORIZON TECHNOLOGY FINANCE CORPORATION	11-JUN-12	44045A-102
VOTE	MANAGEMENT FOR / AGAINST	PROPOSALS AT "SPECIAL MEETING OF SHAREHOLDER
Echo Voted -- For	For	1) Authorize the Company, with approval of its board of directors, to sell shares of its common stock at a price below the then current net asset value per share in one or more offerings, subject to certain conditions set forth in the proxy statement.

COMPANY NAME	MEETING DATE	CUSIP
MAIN STREET CAPITAL CORPORATION	15-JUN-11	56035L-104
VOTE	MANAGEMENT FOR / AGAINST	PROPOSALS AT "ANNUAL MEETING OF SHAREHOLDER
unvoted - custodian administrative error	For	1.1) Elect Michael Appling Jr. as director
unvoted - custodian administrative error	For	1.2) Elect Joseph Canon as director
unvoted - custodian administrative error	For	1.3) Elect Arthur French as director
unvoted - custodian administrative error	For	1.4) Elect J. Kevin Griffin as director
unvoted - custodian administrative error	For	1.5) Elect Vincent Foster (Chairman & CEO) as director
unvoted - custodian administrative error	For	1.6) Elect Todd Reppert (President & CFO) as director
unvoted - custodian administrative error	For	2) Authorize the Company, with the approval of the Board of Directors, to sell shares of its common stock during the next 12 months at a price below the then current net asset value (NAV) per share, subject to certain limitations described in the accompanying proxy statement.

COMPANY NAME	MEETING DATE	CUSIP
KOHLBERG CAPITAL CORPORATION	15-JUN-12	500233-101
VOTE	MANAGEMENT FOR / AGAINST	PROPOSALS AT "ANNUAL MEETING OF SHAREHOLDER
Echo Voted -- For	For	1.1) Elect Christopher Lacovara as director
Echo Voted -- For	For	1.2) Elect Dayl Pearson as director
Echo Voted -- For	For	2) Approve, on an advisory basis, the compensation of the executive officers, as disclosed in the company's Proxy Statement.

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Echo Voted -- For	For	Statement for the 2012 Annual Meeting of Shareholders pursuant to the compensation disclosure rules of the Securities and Exchange Commission.
Echo Voted -- For	For	3) Approve an amendment of Article I of the Certificate of Incorporation of Kohlberg Capital Corporation to change the Company's name to KCAP Financial, Inc.
		4) Ratify the selection of Grant Thornton LLP as independent registered public accounting firm

COMPANY NAME	MEETING DATE	CUSIP
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KOHLBERG CAPITAL CORPORATION	22-JUN-12	500233-101
VOTE	MANAGEMENT FOR / AGAINST	PROPOSALS AT "SPECIAL MEETING OF SHAREHOLDERS"
Echo Voted -- For	For	1) Authorize the Company, with approval of its board of directors, to sell shares of its common stock, par value \$0.01 per shares, or warrants, options or rights to purchase such common stock at a price below the then current market value per share of such common stock, subject to certain limitations described in the proxy statement.

COMPANY NAME	MEETING DATE	CUSIP
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TICC CAPITAL CORP.	27-JUN-12	87244T-109
VOTE	MANAGEMENT FOR / AGAINST	PROPOSALS AT "ANNUAL MEETING OF SHAREHOLDERS"
Echo Voted -- For	For	1.1) Elect Jonathan Cohen as director
Echo Voted -- For	For	1.2) Elect G. Peter O'brien as director
Echo Voted -- For	For	2) Ratify the selection of PwC (PricewaterhouseCoopers) as the independent registered public accounting firm

SIGNATURES

[See General Instruction F]

Pursuant to the requirements of the Investment Company Act of 1940, the registrant has duly caused this report to be signed on its behalf by the undersigned, thereunto duly authorized.

(Registrant) FIRST TRUST SPECIALTY FINANCE  
AND FINANCIAL OPPORTUNITIES FUND  
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By (Signature and Title)\* /s/ Mark R. Bradley  
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Mark R. Bradley, President

Date

July 24, 2012

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