

FIRST TRUST SPECIALTY FINANCE & FINANCIAL OPPORTUNITIES FUND

Form N-PX

July 13, 2018

UNITED STATES
SECURITIES AND EXCHANGE COMMISSION
Washington, DC 20549

FORM N-PX

ANNUAL REPORT OF PROXY VOTING RECORD OF REGISTERED MANAGEMENT
INVESTMENT COMPANY

Investment Company Act File No. 811-22039

First Trust Specialty Finance and
Financial Opportunities Fund

Exact Name of Registrant as Specified in Declaration of Trust

120 East Liberty Drive, Suite 400, Wheaton, Illinois 60187

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

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

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

(630) 765-8000

Registrant's Telephone Number, including Area Code

Date of fiscal year end: November 30

Date of reporting period: July 1, 2017 - June 30, 2018

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

FS INVESTMENT CORPORATION

SECURITY	302635107	MEETING TYPE	Annual
TICKER SYMBOL	FSIC	MEETING DATE	27-Jul-2017
ISIN	US3026351078	AGENDA	934622982
RECORD DATE	20-Apr-2017	HOLDING RECON DATE	20-Apr-2017
CITY / COUNTRY	/ United States	VOTE DEADLINE DATE	26-Jul-2017
SEDOL(S)		QUICK CODE	

ITEM	PROPOSAL	PROPOSED BY	VOTE	MANAGEMENT RECOMMENDATION
1.	Election of Directors	Management		
	1 MICHAEL J. HAGAN		For	For
	2 JEFFREY K. HARROW		For	For
	3 PEDRO RAMOS		For	For
	4 JOSEPH P. UJOBAI		For	For
2.	Approve Private Placement	Management	For	For

APOLLO INVESTMENT CORPORATION

SECURITY	03761U106	MEETING TYPE	Annual
TICKER SYMBOL	AINV	MEETING DATE	03-Aug-2017
ISIN	US03761U1060	AGENDA	934652428
RECORD DATE	09-Jun-2017	HOLDING RECON DATE	09-Jun-2017
CITY / COUNTRY	/ United States	VOTE DEADLINE DATE	02-Aug-2017
SEDOL(S)		QUICK CODE	

ITEM	PROPOSAL	PROPOSED BY	VOTE	MANAGEMENT RECOMMENDATION
1.	Election of Directors	Management		
	1 JEANETTE W. LOEB		For	For
	2 FRANK C. PULEO		For	For
	3 CARL SPIELVOGEL		For	For
2.	Ratify Appointment of Independent Auditors	Management	For	For

GLADSTONE INVESTMENT CORPORATION

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SECURITY	376546107	MEETING TYPE	Annual
TICKER SYMBOL	GAIN	MEETING DATE	24-Aug-2017
ISIN	US3765461070	AGENDA	934651692
RECORD DATE	05-Jun-2017	HOLDING RECON DATE	05-Jun-2017
CITY / COUNTRY	/ United States	VOTE DEADLINE DATE	23-Aug-2017

SEDOL(S)

QUICK CODE

ITEM	PROPOSAL	PROPOSED BY	VOTE	MANAGEMENT RECOMMENDATION
1.	Election of Directors 1 ANTHONY W. PARKER	Management	For	For
2.	Authorize Sale of Assets	Management	For	For

HERCULES CAPITAL INC

SECURITY	427096508	MEETING TYPE	Annual
TICKER SYMBOL	HTGC	MEETING DATE	13-Dec-2017
ISIN	US4270965084	AGENDA	934703174
RECORD DATE	30-Oct-2017	HOLDING RECON DATE	30-Oct-2017
CITY / COUNTRY	/ United States	VOTE DEADLINE DATE	12-Dec-2017

SEDOL(S)

QUICK CODE

ITEM	PROPOSAL	PROPOSED BY	VOTE	MANAGEMENT RECOMMENDATION
1.	Election of Directors 1 ROBERT P. BADAVAS 2 JORGE TITINGER	Management	For	For
2.	14A Executive Compensation	Management	For	For
3.	14A Executive Compensation Vote Frequency	Management	1 Year	1 Year
4.	Ratify Appointment of Independent Auditors	Management	For	For

CM FINANCE INC.

SECURITY	12574Q103	MEETING TYPE	Annual
TICKER SYMBOL	CMFN	MEETING DATE	21-Dec-2017
ISIN	US12574Q1031	AGENDA	934682659
RECORD DATE	08-Sep-2017	HOLDING RECON DATE	08-Sep-2017
CITY / COUNTRY	/ United States	VOTE DEADLINE DATE	20-Dec-2017

SEDOL(S)

QUICK CODE

ITEM	PROPOSAL	PROPOSED BY	VOTE	MANAGEMENT RECOMMENDATION
1.	Election of Directors 1 KEITH LEE 2 JULIE PERSILY	Management	For	For
2.	Authorize Sale of Assets	Management	For	For

GOLUB CAPITAL BDC, INC.

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SECURITY	38173M102	MEETING TYPE	Annual
TICKER SYMBOL	GBDC	MEETING DATE	06-Feb-2017
ISIN	US38173M1027	AGENDA	934715383
RECORD DATE	12-Dec-2017	HOLDING RECON DATE	12-Dec-2017
CITY / COUNTRY	/ United States	VOTE DEADLINE DATE	05-Feb-2017

SEDOL(S)

QUICK CODE

ITEM	PROPOSAL	PROPOSED BY	VOTE	MANAGEMENT RECOMMENDATION
1A)	Election of Directors (Majority Voting)	Management	For	For
1B)	Election of Directors (Majority Voting)	Management	For	For
2)	Ratify Appointment of Independent Auditors	Management	For	For

MEDLEY CAPITAL CORPORATION

SECURITY	58503F106	MEETING TYPE	Annual
TICKER SYMBOL	MCC	MEETING DATE	13-Feb-2017
ISIN	US58503F1066	AGENDA	934716575
RECORD DATE	19-Dec-2017	HOLDING RECON DATE	19-Dec-2017
CITY / COUNTRY	/ United States	VOTE DEADLINE DATE	12-Feb-2017

SEDOL(S)

QUICK CODE

ITEM	PROPOSAL	PROPOSED BY	VOTE	MANAGEMENT RECOMMENDATION
1.	Election of Directors 1 Mr. Jeff Tonkel 2 Mr. Mark Lerdal	Management	For	For
2.	Ratify Appointment of Independent Auditors	Management	For	For

PENNANTPARK INVESTMENT CORPORATION

SECURITY	708062104	MEETING TYPE	Annual
TICKER SYMBOL	PNNT	MEETING DATE	14-Mar-2017
ISIN	US7080621045	AGENDA	934712779
RECORD DATE	17-Nov-2017	HOLDING RECON DATE	17-Nov-2017
CITY / COUNTRY	/ United States	VOTE DEADLINE DATE	13-Mar-2017

SEDOL(S)

QUICK CODE

ITEM	PROPOSAL	PROPOSED BY	VOTE	MANAGEMENT RECOMMENDATION
1.	Election of Directors 1 MR. ADAM BERNSTEIN 2 MR. JEFFREY FLUG	Management	For	For
2.	Ratify Appointment of Independent Auditors	Management	For	For

FS INVESTMENT CORPORATION

SECURITY	302635107	MEETING TYPE	Special
TICKER SYMBOL	FSIC	MEETING DATE	26-Mar-2017
ISIN	US3026351078	AGENDA	934723291

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RECORD DATE	18-Jan-2018	HOLDING RECON DATE	18-Jan-2018
CITY / COUNTRY	/ United States	VOTE DEADLINE DATE	23-Mar-2018

SEDOL(S)

QUICK CODE

ITEM	PROPOSAL	PROPOSED BY	VOTE	MANAGEMENT RECOMMENDATION
1.	Approve Investment Advisory Agreement	Management	For	For
2.	Approve Investment Advisory Agreement	Management	For	For

CORPORATE CAPITAL TRUST, INC.

SECURITY	219880101	MEETING TYPE	Special
TICKER SYMBOL	CCT	MEETING DATE	26-Mar-2018
ISIN	US2198801019	AGENDA	934723734
RECORD DATE	22-Jan-2018	HOLDING RECON DATE	22-Jan-2018
CITY / COUNTRY	/ United States	VOTE DEADLINE DATE	23-Mar-2018

SEDOL(S)

QUICK CODE

ITEM	PROPOSAL	PROPOSED BY	VOTE	MANAGEMENT RECOMMENDATION
1.	Approve Investment Advisory Agreement	Management	For	For
2.	Approve Investment Advisory Agreement	Management	For	For

TRIPLEPOINT VENTURE GROWTH BDC CORP.

SECURITY	89677Y100	MEETING TYPE	Annual
TICKER SYMBOL	TPVG	MEETING DATE	25-Apr-2018
ISIN	US89677Y1001	AGENDA	934751187
RECORD DATE	12-Mar-2018	HOLDING RECON DATE	12-Mar-2018
CITY / COUNTRY	/ United States	VOTE DEADLINE DATE	24-Apr-2018

SEDOL(S)

QUICK CODE

ITEM	PROPOSAL	PROPOSED BY	VOTE	MANAGEMENT RECOMMENDATION
1.	Election of Directors 1 Sajal K. Srivastava 2 Stephen A. Cassani	Management	For	For
2.	Ratify Appointment of Independent Auditors	Management	For	For
3.	Approve Issuance of Warrants	Management	For	For

NEW MOUNTAIN FINANCE CORPORATION

SECURITY	647551100	MEETING TYPE	Annual
TICKER SYMBOL	NMFC	MEETING DATE	26-Apr-2018
ISIN	US6475511001	AGENDA	934738571
RECORD DATE	01-Mar-2018	HOLDING RECON DATE	01-Mar-2018
CITY / COUNTRY	/ United States	VOTE DEADLINE DATE	25-Apr-2018

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ITEM	PROPOSAL	PROPOSED BY	VOTE	MANAGEMENT RECOMMENDATION
1.	Election of Directors 1 David Ogens 2 Adam B. Weinstein	Management	For For	For For
2.	Ratify Appointment of Independent Auditors	Management	For	For

MAIN STREET CAPITAL CORPORATION

SECURITY	56035L104	MEETING TYPE	Annual
TICKER SYMBOL	MAIN	MEETING DATE	30-Apr-2018
ISIN	US56035L1044	AGENDA	934739826
RECORD DATE	02-Mar-2018	HOLDING RECON DATE	02-Mar-2018
CITY / COUNTRY	/ United States	VOTE DEADLINE DATE	27-Apr-2018
SEDOL(S)		QUICK CODE	

ITEM	PROPOSAL	PROPOSED BY	VOTE	MANAGEMENT RECOMMENDATION
1A.	Election of Directors (Majority Voting)	Management	For	For
1B.	Election of Directors (Majority Voting)	Management	For	For
1C.	Election of Directors (Majority Voting)	Management	For	For
1D.	Election of Directors (Majority Voting)	Management	For	For
1E.	Election of Directors (Majority Voting)	Management	For	For
1F.	Election of Directors (Majority Voting)	Management	For	For
1G.	Election of Directors (Majority Voting)	Management	For	For
1H.	Election of Directors (Majority Voting)	Management	For	For
1I.	Election of Directors (Majority Voting)	Management	For	For
1J.	Election of Directors (Majority Voting)	Management	For	For
2.	Ratify Appointment of Independent Auditors	Management	For	For
3.	14A Executive Compensation	Management	For	For
4.	Approve Charter Amendment	Management	For	For

TRIANGLE CAPITAL CORPORATION

SECURITY	895848109	MEETING TYPE	Annual
TICKER SYMBOL	TCAP	MEETING DATE	02-May-2018
ISIN	US8958481090	AGENDA	934736983
RECORD DATE	22-Feb-2018	HOLDING RECON DATE	22-Feb-2018
CITY / COUNTRY	/ United States	VOTE DEADLINE DATE	01-May-2018
SEDOL(S)		QUICK CODE	

ITEM	PROPOSAL	PROPOSED BY	VOTE	MANAGEMENT RECOMMENDATION
1.1	Election of Directors (Majority Voting)	Management	For	For
1.2	Election of Directors (Majority Voting)	Management	For	For
1.3	Election of Directors (Majority Voting)	Management	For	For
1.4	Election of Directors (Majority Voting)	Management	For	For
1.5	Election of Directors (Majority Voting)	Management	For	For
1.6	Election of Directors (Majority Voting)	Management	For	For
1.7	Election of Directors (Majority Voting)	Management	For	For
1.8	Election of Directors (Majority Voting)	Management	For	For
2.	Ratify Appointment of Independent Auditors	Management	For	For
3.	14A Executive Compensation	Management	For	For

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KCAP FINANCIAL, INC.

SECURITY	48668E101	MEETING TYPE	Annual
TICKER SYMBOL	KCAP	MEETING DATE	03-May-201
ISIN	US48668E1010	AGENDA	934748774
RECORD DATE	08-Mar-2018	HOLDING RECON DATE	08-Mar-201
CITY / COUNTRY	/ United States	VOTE DEADLINE DATE	02-May-201
SEDOL(S)		QUICK CODE	

ITEM	PROPOSAL	PROPOSED BY	VOTE	MANAGEMENT RECOMMENDATION
1.	Election of Directors	Management		
	1 Christopher Lacovara		For	For
	2 Dayl W. Pearson		For	For
2.	14A Executive Compensation	Management	For	For
3.	Ratify Appointment of Independent Auditors	Management	For	For

CYS INVESTMENTS, INC

SECURITY	12673A108	MEETING TYPE	Annual
TICKER SYMBOL	CYS	MEETING DATE	11-May-201
ISIN	US12673A1088	AGENDA	934758511
RECORD DATE	15-Mar-2018	HOLDING RECON DATE	15-Mar-201
CITY / COUNTRY	/ United States	VOTE DEADLINE DATE	10-May-201
SEDOL(S)		QUICK CODE	

ITEM	PROPOSAL	PROPOSED BY	VOTE	MANAGEMENT RECOMMENDATION
1.	Election of Directors	Management		
	1 Kevin E. Grant		For	For
	2 Tanya S. Beder		For	For
	3 Karen Hammond		For	For
	4 R.A. Redlingshafer Jr		For	For
	5 Dale A. Reiss		For	For
	6 James A. Stern		For	For
2.	14A Executive Compensation	Management	For	For
3.	14A Executive Compensation Vote Frequency	Management	1 Year	1 Year
4.	Ratify Appointment of Independent Auditors	Management	For	For

ARES CAPITAL CORPORATION

SECURITY	04010L103	MEETING TYPE	Special
TICKER SYMBOL	ARCC	MEETING DATE	14-May-201
ISIN	US04010L1035	AGENDA	934768358
RECORD DATE	16-Mar-2018	HOLDING RECON DATE	16-Mar-201
CITY / COUNTRY	/ United States	VOTE DEADLINE DATE	11-May-201
SEDOL(S)		QUICK CODE	

PROPOSED

MANAGEMENT

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ITEM	PROPOSAL	BY	VOTE	RECOMMENDATION
1	Authorize Sale of Assets	Management	For	For

ARES CAPITAL CORPORATION

SECURITY	04010L103	MEETING TYPE	Annual
TICKER SYMBOL	ARCC	MEETING DATE	14-May-2018
ISIN	US04010L1035	AGENDA	934771177
RECORD DATE	16-Mar-2018	HOLDING RECON DATE	16-Mar-2018
CITY / COUNTRY	/ United States	VOTE DEADLINE DATE	11-May-2018
SEDOL(S)		QUICK CODE	

ITEM	PROPOSAL	PROPOSED BY	VOTE	MANAGEMENT RECOMMENDATION
1a.	Election of Directors (Majority Voting)	Management	For	For
1b.	Election of Directors (Majority Voting)	Management	For	For
1c.	Election of Directors (Majority Voting)	Management	For	For
2.	Ratify Appointment of Independent Auditors	Management	For	For

CAPSTEAD MORTGAGE CORPORATION

SECURITY	14067E506	MEETING TYPE	Annual
TICKER SYMBOL	CMO	MEETING DATE	16-May-2018
ISIN	US14067E5069	AGENDA	934766291
RECORD DATE	23-Mar-2018	HOLDING RECON DATE	23-Mar-2018
CITY / COUNTRY	/ United States	VOTE DEADLINE DATE	15-May-2018
SEDOL(S)		QUICK CODE	

ITEM	PROPOSAL	PROPOSED BY	VOTE	MANAGEMENT RECOMMENDATION
1A	Election of Directors (Majority Voting)	Management	For	For
1B	Election of Directors (Majority Voting)	Management	For	For
1C	Election of Directors (Majority Voting)	Management	For	For
1D	Election of Directors (Majority Voting)	Management	For	For
1E	Election of Directors (Majority Voting)	Management	For	For
1F	Election of Directors (Majority Voting)	Management	For	For
1G	Election of Directors (Majority Voting)	Management	For	For
1H	Election of Directors (Majority Voting)	Management	For	For
2.	14A Executive Compensation	Management	For	For
3.	Ratify Appointment of Independent Auditors	Management	For	For

TPG SPECIALTY LENDING, INC.

SECURITY	87265K102	MEETING TYPE	Special
TICKER SYMBOL	TSLX	MEETING DATE	17-May-2018
ISIN	US87265K1025	AGENDA	934771038
RECORD DATE	19-Mar-2018	HOLDING RECON DATE	19-Mar-2018
CITY / COUNTRY	/ United States	VOTE DEADLINE DATE	16-May-2018
SEDOL(S)		QUICK CODE	

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ITEM	PROPOSAL	PROPOSED BY	VOTE	MANAGEMENT RECOMMENDATION
1.	Authorize Sale of Assets	Management	For	For

TPG SPECIALTY LENDING, INC.

SECURITY	87265K102	MEETING TYPE	Annual
TICKER SYMBOL	TSLX	MEETING DATE	17-May-2018
ISIN	US87265K1025	AGENDA	934771317
RECORD DATE	19-Mar-2018	HOLDING RECON DATE	19-Mar-2018
CITY / COUNTRY	/ United States	VOTE DEADLINE DATE	16-May-2018
SEDOL(S)		QUICK CODE	

ITEM	PROPOSAL	PROPOSED BY	VOTE	MANAGEMENT RECOMMENDATION
1.	Election of Directors	Management		
	1 Richard Higginbotham		For	For
	2 Ronald Tanemura		For	For
2.	Ratify Appointment of Independent Auditors	Management	For	For

ANNALY CAPITAL MANAGEMENT, INC.

SECURITY	035710409	MEETING TYPE	Annual
TICKER SYMBOL	NLY	MEETING DATE	23-May-2018
ISIN	US0357104092	AGENDA	934772004
RECORD DATE	26-Mar-2018	HOLDING RECON DATE	26-Mar-2018
CITY / COUNTRY	/ United States	VOTE DEADLINE DATE	22-May-2018
SEDOL(S)		QUICK CODE	

ITEM	PROPOSAL	PROPOSED BY	VOTE	MANAGEMENT RECOMMENDATION
1a.	Election of Directors (Majority Voting)	Management	For	For
1b.	Election of Directors (Majority Voting)	Management	For	For
1c.	Election of Directors (Majority Voting)	Management	For	For
1d.	Election of Directors (Majority Voting)	Management	For	For
1e.	Election of Directors (Majority Voting)	Management	For	For
2.	14A Executive Compensation	Management	For	For
3.	Ratify Appointment of Independent Auditors	Management	For	For

OFS CAPITAL CORPORATION

SECURITY	67103B100	MEETING TYPE	Annual
TICKER SYMBOL	OFS	MEETING DATE	05-Jun-2018
ISIN	US67103B1008	AGENDA	934789201
RECORD DATE	10-Apr-2018	HOLDING RECON DATE	10-Apr-2018
CITY / COUNTRY	/ United States	VOTE DEADLINE DATE	04-Jun-2018
SEDOL(S)		QUICK CODE	

PROPOSED

MANAGEMENT

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ITEM	PROPOSAL	BY	VOTE	RECOMMENDATION
1.	Election of Directors 1 Marc Abrams 2 Jeffrey A. Cerny	Management	For For	For For
2.	Ratify Appointment of Independent Auditors	Management	For	For

THL CREDIT, INC.

SECURITY	872438106	MEETING TYPE	Annual
TICKER SYMBOL	TCRD	MEETING DATE	07-Jun-2018
ISIN	US8724381061	AGENDA	934804801
RECORD DATE	17-Apr-2018	HOLDING RECON DATE	17-Apr-2018
CITY / COUNTRY	/ United States	VOTE DEADLINE DATE	06-Jun-2018
SEDOL(S)		QUICK CODE	

ITEM	PROPOSAL	PROPOSED BY	VOTE	MANAGEMENT RECOMMENDATION
1.	Election of Directors 1 Christopher J. Flynn 2 E. P. Giambastiani, Jr. 3 Nancy Hawthorne 4 James D. Kern 5 Deborah McAneny 6 Jane Musser Nelson	Management	For For For For For For	For For For For For For
2.	Stock Issuance	Management	For	For
3.	Approve Issuance of Warrants	Management	For	For
4.	Approve Charter Amendment	Management	For	For
5.	Amend Articles-Board Related	Management	For	For
6.	Approve Motion to Adjourn Meeting	Management	For	For

NEW MOUNTAIN FINANCE CORPORATION

SECURITY	647551100	MEETING TYPE	Special
TICKER SYMBOL	NMFC	MEETING DATE	08-Jun-2018
ISIN	US6475511001	AGENDA	934827734
RECORD DATE	16-Apr-2018	HOLDING RECON DATE	16-Apr-2018
CITY / COUNTRY	/ United States	VOTE DEADLINE DATE	07-Jun-2018
SEDOL(S)		QUICK CODE	

ITEM	PROPOSAL	PROPOSED BY	VOTE	MANAGEMENT RECOMMENDATION
1.	Miscellaneous Corporate Actions	Management	For	For

HARVEST CAPITAL CREDIT CORPORATION

SECURITY	41753F109	MEETING TYPE	Annual
TICKER SYMBOL	HCAP	MEETING DATE	12-Jun-2018
ISIN	US41753F1093	AGENDA	934799935
RECORD DATE	17-Apr-2018	HOLDING RECON DATE	17-Apr-2018
CITY / COUNTRY	/ United States	VOTE DEADLINE DATE	11-Jun-2018

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SEDOL(S)

QUICK CODE

ITEM	PROPOSAL	PROPOSED BY	VOTE	MANAGEMENT RECOMMENDATION
1.	Election of Directors (Majority Voting)	Management	For	For
2.	Ratify Appointment of Independent Auditors	Management	For	For

GOLDMAN SACHS BDC, INC.

SECURITY	38147U107	MEETING TYPE	Annual
TICKER SYMBOL	GSD	MEETING DATE	15-Jun-201
ISIN	US38147U1079	AGENDA	934835539
RECORD DATE	10-May-2018	HOLDING RECON DATE	10-May-201
CITY / COUNTRY	/ United States	VOTE DEADLINE DATE	14-Jun-201

SEDOL(S)

QUICK CODE

ITEM	PROPOSAL	PROPOSED BY	VOTE	MANAGEMENT RECOMMENDATION
1.1	Election of Directors (Majority Voting)	Management	For	For
2.	Ratify Appointment of Independent Auditors	Management	For	For
3.	Miscellaneous Corporate Actions	Management	For	For

TCP CAPITAL CORP.

SECURITY	87238Q103	MEETING TYPE	Annual
TICKER SYMBOL	TCPC	MEETING DATE	19-Jun-201
ISIN	US87238Q1031	AGENDA	934826477
RECORD DATE	20-Apr-2018	HOLDING RECON DATE	20-Apr-201
CITY / COUNTRY	/ United States	VOTE DEADLINE DATE	18-Jun-201

SEDOL(S)

QUICK CODE

ITEM	PROPOSAL	PROPOSED BY	VOTE	MANAGEMENT RECOMMENDATION
1.	Election of Directors	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
2a.	Approve Investment Advisory Agreement	Management	For	For
2b.	Approve Investment Advisory Agreement	Management	For	For
3.	Miscellaneous Corporate Actions	Management	For	For
4.	Stock Issuance	Management	For	For

TRIPLEPOINT VENTURE GROWTH BDC CORP.

SECURITY	89677Y100	MEETING TYPE	Special
TICKER SYMBOL	TPVG	MEETING DATE	21-Jun-201
ISIN	US89677Y1001	AGENDA	934837696

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RECORD DATE	18-May-2018	HOLDING RECON DATE	18-May-2018
CITY / COUNTRY	/ United States	VOTE DEADLINE DATE	20-Jun-2018

SEDOL(S)

QUICK CODE

ITEM	PROPOSAL	PROPOSED BY	VOTE	MANAGEMENT RECOMMENDATION
1.	Miscellaneous Corporate Actions	Management	For	For

ALCENTRA CAPITAL CORPORATION

SECURITY	01374T102	MEETING TYPE	Annual
TICKER SYMBOL	ABDC	MEETING DATE	26-Jun-2018
ISIN	US01374T1025	AGENDA	934840869
RECORD DATE	18-Apr-2018	HOLDING RECON DATE	18-Apr-2018
CITY / COUNTRY	/ United States	VOTE DEADLINE DATE	25-Jun-2018

SEDOL(S)

QUICK CODE

ITEM	PROPOSAL	PROPOSED BY	VOTE	MANAGEMENT RECOMMENDATION
1.	Election of Directors	Management		
	1 David Scopelliti		For	For
	2 Edward Grebow		For	For
2.	Ratify Appointment of Independent Auditors	Management	For	For
3.	Approve Charter Amendment	Management	For	For

STELLUS CAPITAL INVESTMENT CORPORATION

SECURITY	858568108	MEETING TYPE	Annual
TICKER SYMBOL	SCM	MEETING DATE	28-Jun-2018
ISIN	US8585681088	AGENDA	934814701
RECORD DATE	05-Apr-2018	HOLDING RECON DATE	05-Apr-2018
CITY / COUNTRY	/ United States	VOTE DEADLINE DATE	27-Jun-2018

SEDOL(S)

QUICK CODE

ITEM	PROPOSAL	PROPOSED BY	VOTE	MANAGEMENT RECOMMENDATION
1.	Election of Directors	Management		
	1 Robert T. Ladd		For	For
	2 J. Tim Arnoult		For	For
	3 Paul Keglevic		For	For
2.	Stock Issuance	Management	For	For
3.	Amend Articles/Charter to Reflect Changes in Capital	Management	For	For
4.	Approve Motion to Adjourn Meeting	Management	For	For

HERCULES CAPITAL INC

SECURITY	427096508	MEETING TYPE	Annual
TICKER SYMBOL	HTGC	MEETING DATE	28-Jun-2018
ISIN	US4270965084	AGENDA	934846087 -

