

FIRST TRUST SPECIALTY FINANCE & FINANCIAL OPPORTUNITIES FUND
Form N-PX
August 31, 2009

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, 2008 - June 30, 2009

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 |
|-------------------------------|--------------|-----------|
| Apollo Investment Corporation | 5-Aug-08 | 03761U106 |

| VOTE | FOR/AGAINST MANAGEMENT | PROPOSAL |
|------|---------------------------|--|
| For | For | 1.1) Elect Claudine Malone as director |
| For | For | 1.2) Elect Frank Puleo as director |
| For | For | 1.3) Elect Carl Spielvogel as director |
| For | For | 2) To ratify the selection of PricewaterhouseCoopers LLP to serve as the Company's independent registered public accounting firm for the ending March 31, 2009 |
| For | For | 3) To approve a proposal to authorize flexibility for the Company, with approval of its Board of Directors to sell shares of its common stock during the upcoming offering at prices slightly below the Company's then current net value per share in one or more offerings, subject to the following conditions |

| COMPANY NAME | MEETING DATE | CUSIP |
|------------------------|--------------|-----------|
| Prospect Capital Corp. | 12-Dec-08 | 74348T102 |

| VOTE | FOR/AGAINST MANAGEMENT | PROPOSAL |
|------|---------------------------|--|
| For | For | 1.1) Elect Graham Anderson as director |
| For | For | 1.2) Elect Eugene Stark as director |
| For | For | 2) Selection of BDO Seidman as the registered public accountant through 6/30/09 |
| For | For | 3) Proposal to sell stock at prices below the company's asset value |
| For | For | 4) Proposal to to authorize the company to issue warrants, options or rights offerings |

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| COMPANY NAME | MEETING DATE | CUSIP |
|------------------------|--------------|-----------|
| PennantPark Inv. Corp. | 3-Feb-09 | 708062104 |

| VOTE | FOR/AGAINST MANAGEMENT | PROPOSAL |
|------|---------------------------|---|
| For | For | 1.1) Elect Marshall Brozost as director |
| For | For | 1.2) Elect Samuel Katz as director |
| For | For | 2) Ratify the selection of KPMG LLP as PennantPark Investment Corporations independent registered public accounting firm for fiscal year ending September 30, |

| COMPANY NAME | MEETING DATE | CUSIP |
|-------------------|--------------|-----------|
| Gladstone Capital | 19-Feb-09 | 376535100 |

| VOTE | FOR/AGAINST MANAGEMENT | PROPOSAL |
|------|---------------------------|---|
| For | For | 1.1) Elect Maurice Coulan as director |
| For | For | 1.2) Elect Gerard Mead as director |
| For | For | 1.3) Elect David Dullum as director |
| For | For | 1.4) Elect Terry Lee Brubaker as director |
| For | For | 2) Authorization to sell shares of common stock at a price below current NAV share. |
| For | For | 3) To ratify the selection of Price Waterhouse Coopers LLP as the independent registered public accounting firm for fiscal year ending September 30, 2009 |

| COMPANY NAME | MEETING DATE | CUSIP |
|------------------------|--------------|-----------|
| American Capital, Ltd. | 19-Feb-09 | 02503Y103 |

| VOTE | FOR/AGAINST MANAGEMENT | PROPOSAL |
|------|---------------------------|---|
| For | For | 1) Authorization to sell shares of ACAS common stock below the net asset value per share. |
| For | For | 2) In their [the board of directors'] discretion on any matters that may properly come before the meeting or any adjournment of such meeting. |

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| COMPANY NAME | MEETING DATE | CUSIP |
|-------------------|--------------|------------|
| MVC Capital, Inc. | 14-Apr-09 | 553829-102 |

| VOTE | FOR/AGAINST MANAGEMENT | PROPOSAL |
|------|---------------------------|--|
| For | For | 1.1) Elect Emilio Dominianni as director |
| For | For | 1.2) Elect Gerald Hellerman as director |
| For | For | 1.3) Elect Robert Knapp as director |
| For | For | 1.4) Elect William Taylor as director |
| For | For | 1.5) Elect Warren Holtsberg as director |
| For | For | 1.6) Elect Michael Tokarz as director |
| For | For | 2) Approve an amended & restated investment advisory & management agreement with TTG Advisers. |

| COMPANY NAME | MEETING DATE | CUSIP |
|--------------|--------------|------------|
| Ares Capital | 4-May-09 | 04010L-103 |

| VOTE | FOR/AGAINST MANAGEMENT | PROPOSAL |
|---------|---------------------------|---|
| For | For | 1.1) Elect Gregory Penske as director |
| For | For | 1.2) Elect Robert Rosen as director |
| For | For | 1.3) Elect Bennett Rosenthal as director |
| For | For | 2) Ratify KPMG LLP as the independent registered public accounting firm for the fiscal year 2009. |
| For | For | 3) Authorize the company to sell or issue shares of common stock at a price below its then-current NAV per share. |
| For | For | 4) Authorize the company to sell or, otherwise, issue warrants or securities to subscribe for or sec convertible into shares of common stock -- not excee of its then outstanding common stock, at an exercise conversion price that, at date of issuance, will not than the greater on a per-share basis of the market its common stock & NAV. |
| Against | Against | 5) Ratify declassification of board of directors & annual election of all company directors. |

| COMPANY NAME | MEETING DATE | CUSIP |
|--------------|--------------|-------|
|--------------|--------------|-------|

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Highland Distressed Opportunitites, Inc. 9-Apr-09

430067-108

| VOTE | FOR/AGAINST MANAGEMENT | PROPOSAL |
|------|---------------------------|---|
| For | For | 1) Approve an agreement & plan of merger & liquidation. |

| COMPANY NAME | MEETING DATE | CUSIP |
|-----------------------|--------------|------------|
| NGP Capital Resources | 13-May-09 | H27013-103 |

| VOTE | FOR/AGAINST MANAGEMENT | PROPOSAL |
|--------------|---------------------------|--|
| Did Not Vote | N/A | 1.1) Elect David Albin as director for term ending 2012 |
| Did Not Vote | N/A | 1.2) Elect Lon Kile as director for term ending 2012 |
| Did Not Vote | N/A | 2) Authorize the company to offer and issue warrants exercisable for, rights to subscribe for, and preferred stock and debt convertible into, shares of common stock of the company (not to exceed 25% of then-outstanding number of common shares). |

| COMPANY NAME | MEETING DATE | CUSIP |
|----------------|--------------|------------|
| Allied Capital | 13-May-09 | 01903Q-108 |

| VOTE | FOR/AGAINST MANAGEMENT | PROPOSAL |
|------|---------------------------|--|
| For | For | 1.1) Elect Ann Torre Bates as director |
| For | For | 1.2) Elect Edward Mathias as director |
| For | For | 1.3) Elect Alex Pollack as director |
| For | For | 1.4) Elect John Scheurer as director |
| For | For | 2) Ratify the selection of KPMG LLP as the independent registered public accounting firm for the fiscal year |

| COMPANY NAME | MEETING DATE | CUSIP |
|-------------------------|--------------|------------|
| BlackRock Kelso Capital | 18-May-09 | 092533-108 |

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| VOTE | FOR/AGAINST MANAGEMENT | PROPOSAL |
|------|---------------------------|--|
| For | For | 1.1) Elect William Mayer as director |
| For | For | 1.2) Elect Francois de Saint Phalle as director |
| For | For | 2) Authorize flexibility for the company, with approval of the Board, to sell shares of its common stock at a price below, but no more than 5% below, the company's then current net asset value per share subject to certain limitations. |
| For | For | 2) Ratify the selection of Grant Thornton LLP as the independent registered public accounting firm for the fiscal year 2009. |

| COMPANY NAME | MEETING DATE | CUSIP |
|------------------------------|--------------|------------|
| Compass Diversified Holdings | 19-May-09 | 20451Q-104 |

| VOTE | FOR/AGAINST MANAGEMENT | PROPOSAL |
|------------------|---------------------------|---|
| Echo Vote -- For | For | 1.1) Elect C. Sean Day as director |
| Echo Vote -- For | For | 1.2) Elect Eugene Ewing as director |
| Echo Vote -- For | For | 3) Ratify the selection of Deloitte & Touche LLP as the independent registered public accounting firm for the fiscal year 2009. |

| COMPANY NAME | MEETING DATE | CUSIP |
|--------------|--------------|------------|
| State Street | 20-May-09 | 857477-103 |

| VOTE | FOR/AGAINST MANAGEMENT | PROPOSAL |
|------|---------------------------|---|
| For | For | 1.1) Elect K. Burnes as director |
| For | For | 1.2) Elect P. Coym as director |
| For | For | 1.3) Elect P. De Saint-Aignan as director |
| For | For | 1.4) Elect A. Fawcett as director |
| For | For | 1.5) Elect D. Gruber as director |
| For | For | 1.6) Elect L. Hill as director |
| For | For | 1.7) Elect R. Kaplan as director |
| For | For | 1.8) Elect C. Lamantia as director |
| For | For | 1.9) Elect R. Logue as director |
| For | For | 1.10) Elect C. Lamantia as director |
| For | For | 1.11) Elect R. Sergel as director |
| For | For | 1.12) Elect R. Skates as director |
| For | For | 1.13) Elect G. Summe as director |

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| | | | |
|---------|---------|-------|--|
| For | For | 1.14) | Elect R. Weissman as director |
| For | For | 2) | Approve the board's proposal to amend articles of organization & bylaws to adopt a majority vote stand uncontested elections of directors. |
| For | For | 3) | Approve the board's proposal to amend & restate 2006 equity incentive plan to increase by 17m the ma number of shares that may be delivered in satisfacti awards under the plan. |
| For | For | 4) | Annually hold a shareholder vote on an advisory resolution on the compensation of executive officers |
| For | For | 5) | Ratify the selection of Ernst & Young LLP as the independent registered public accounting firm for th fiscal year 2009. |
| Against | Against | 6) | Require annual board certification that the corporation has paid no fees or equity to its audit for any services other than audit activity as requir State & Federal law |

| COMPANY NAME | MEETING DATE | CUSIP |
|----------------------------|--------------|------------|
| ----- | ----- | ----- |
| NorthStar Realty Financial | 21-May-09 | 66704R-100 |

| VOTE | FOR/AGAINST MANAGEMENT | PROPOSAL |
|------------------|---------------------------|--|
| ----- | ----- | ----- |
| Echo Vote -- For | For | 1.1) Elect C. Preston Butcher as director |
| Echo Vote -- For | For | 1.2) Elect David Hamamoto as director |
| Echo Vote -- For | For | 1.3) Elect Judith Hannaway as director |
| Echo Vote -- For | For | 1.4) Elect Wesley D. Minami as director |
| Echo Vote -- For | For | 1.5) Elect Louis Paglia as director |
| Echo Vote -- For | For | 1.6) Elect Frank Sica as director |
| Echo Vote -- For | For | 2) Ratify the selection of Grant Thornton LLP as the independent registered public accounting firm for the fiscal year 2009. |

| COMPANY NAME | MEETING DATE | CUSIP |
|---------------|--------------|------------|
| ----- | ----- | ----- |
| MFA Financial | 21-May-09 | 55272X-102 |

| VOTE | FOR/AGAINST MANAGEMENT | PROPOSAL |
|-------|---------------------------|---|
| ----- | ----- | ----- |
| For | For | 1.1) Elect Michael Dahir as director |
| For | For | 1.2) Elect George Krauss as director |
| For | For | 2) Ratify the selection of Ernst & Young LLP as the independent registered public accounting firm for the fiscal year 2009. |

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| COMPANY NAME | MEETING DATE | CUSIP |
|--|--------------|------------|
| Highland Distressed Opportunitites, Inc. | 27-May-09 | 430067-108 |

| VOTE | FOR/AGAINST MANAGEMENT | PROPOSAL |
|------------------|---------------------------|---|
| Echo Vote -- For | For | 1) Approve an Agreement and Plan of Merger and Liquidation among Highland Distressed Opportunitites, (the "Acquired Fund"), Highland Credit Strategies Fu "Acquiring Fund") and HCF Acquisition LLC, a wholly subsidiary of the Acquiring Fund ("Merger Sub") |

| COMPANY NAME | MEETING DATE | CUSIP |
|-----------------|--------------|------------|
| iSTAR Financial | 27-May-09 | 45031U-101 |

| VOTE | FOR/AGAINST MANAGEMENT | PROPOSAL |
|------------------|---------------------------|--|
| Echo Vote -- For | For | 1.1) Elect Glenn August as director |
| Echo Vote -- For | For | 1.2) Elect Robert Holman, Jr. as director |
| Echo Vote -- For | For | 1.3) Elect Robin Josephs as director |
| Echo Vote -- For | For | 1.4) Elect John McDonald as director |
| Echo Vote -- For | For | 1.5) Elect George Puskar as director |
| Echo Vote -- For | For | 1.6) Elect Dale Anne Reiss as director |
| Echo Vote -- For | For | 1.7) Elect Jay Sugarman as director |
| Echo Vote -- For | For | 1.8) Elect Jeffrey Weber as director |
| Echo Vote -- For | For | 2) Approve 2009 Long-Term Incentive Plan |
| Echo Vote -- For | For | 3) Approve performance-based retention reward for chairman & CEO |
| Echo Vote -- For | For | 4) Ratify the selection of PricewaterhouseCoopers LLP as the independent registered public accounting firm for the fiscal year 2009. |

| COMPANY NAME | MEETING DATE | CUSIP |
|-----------------------------------|--------------|------------|
| Fidelity National Financial, Inc. | 28-May-09 | 31620R-105 |

| VOTE | FOR/AGAINST MANAGEMENT | PROPOSAL |
|------|---------------------------|----------|
|------|---------------------------|----------|

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| | | | |
|-----|-----|------|---|
| For | For | 1.1) | Elect Frank Willey as director |
| For | For | 1.2) | Elect Willie Davis as director |
| For | For | 2) | Ratify the selection of KPMG LLP as the independent registered public accounting firm for the fiscal year 2009. |

| COMPANY NAME | MEETING DATE | CUSIP |
|---------------------------|--------------|------------|
| Annaly Capital Management | 29-May-09 | 035710-409 |

| VOTE | FOR/AGAINST MANAGEMENT | PROPOSAL |
|------|---------------------------|---|
| For | For | 1.1) Elect W. Denahan-Norris as director |
| For | For | 1.2) Elect Michael Haylon as director |
| For | For | 1.3) Elect Donnell Segalas as director |
| For | For | 2) Ratify the selection of Deloitte & Touche LLP as the independent registered public accounting firm for the fiscal year 2009. |

| COMPANY NAME | MEETING DATE | CUSIP |
|--|--------------|------------|
| Hercules Technology Growth Capital, Inc. | 3-Jun-09 | 427096-508 |

| VOTE | FOR/AGAINST MANAGEMENT | PROPOSAL |
|------------------|---------------------------|---|
| Echo Vote -- For | For | 1.1) Elect Allyn Woodward, Jr. as director |
| Echo Vote -- For | For | 2) Ratify the selection of Ernst & Young LLP as the independent registered public accounting firm for the fiscal year 2009. |
| Echo Vote -- For | For | 3) Authorize the company to sell or otherwise issue up to 20% of its outstanding common stock at a price below the company's then-current net asset value ("NAV") per share |
| Echo Vote -- For | For | 4) Authorize the company to offer and issue debt with warrants or debt convertible into shares of its common stock at an exercise or conversion price that at the time such warrants or convertible debt are issued will not be less than the fair market value per share, which may be below NAV |

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| COMPANY NAME | MEETING DATE | CUSIP |
|---------------------|--------------|------------|
| Medallion Financial | 5-Jun-09 | 583928-106 |

| VOTE | FOR/AGAINST MANAGEMENT | PROPOSAL |
|------------------|---------------------------|--|
| Echo Vote -- For | For | 1.1) Elect Stanley Kreitman as director |
| Echo Vote -- For | For | 1.2) Elect Frederick Menowitz as director |
| Echo Vote -- For | For | 1.3) Elect David Rudnick as director |
| Echo Vote -- For | For | 2) Ratify the selection of Weiser LLP as the independent registered public accounting firm for the fiscal year 2009. |
| Echo Vote -- For | For | 3) Approve overall executive pay-for-performance compensation policies & procedures employed by the c |
| Echo Vote -- For | For | 4) Approve 2009 employee restricted stock plan |
| Echo Vote -- For | For | 5) Approve Amended & Restated 2006 Non-Employee Director Stock Option Plan |

| COMPANY NAME | MEETING DATE | CUSIP |
|------------------------|--------------|------------|
| American Capital, Ltd. | 11-Jun-09 | 02503Y-103 |

| VOTE | FOR/AGAINST MANAGEMENT | PROPOSAL |
|------|---------------------------|---|
| For | For | 1.1) Elect Mary Baskin as director |
| For | For | 1.2) Elect Neil Hahl as director |
| For | For | 1.3) Elect Philip Harper as director |
| For | For | 1.4) Elect John Koskinen as director |
| For | For | 1.5) Elect Stan Lundine as director |
| For | For | 1.6) Elect Kenneth Peterson, Jr. as director |
| For | For | 1.7) Elect Alvin Puryear as director |
| For | For | 1.8) Elect Malon Wilkus as director |
| For | For | 2) Amend certificate of incorporation to affect a reverse split, subject to certain limitations |
| For | For | 3) Approve the 2009 Stock Option Plan |
| For | For | 4) Ratify the selection of Ernst & Young LLP as the independent registered public accounting firm for the fiscal year 2009. |

| COMPANY NAME | MEETING DATE | CUSIP |
|------------------|--------------|------------|
| Kohlberg Capital | 12-Jun-09 | 500233-101 |

FOR/AGAINST

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| VOTE | MANAGEMENT | PROPOSAL |
|------------------|------------|---|
| Echo Vote -- For | For | 1.1) Elect Christopher Locovara as director |
| Echo Vote -- For | For | 1.2) Elect Dayl Pearson as director |
| Echo Vote -- For | For | 2) Ratify the selection of Deloitte & Touche LLP as the independent registered public accounting firm for the fiscal year 2009. |

| COMPANY NAME | MEETING DATE | CUSIP |
|--------------|--------------|------------|
| MCG Capital | 17-Jun-09 | 58047P-107 |

| VOTE | FOR/AGAINST MANAGEMENT | PROPOSAL |
|------------------|---------------------------|--|
| Echo Vote -- For | For | 1.1) Elect Jeffrey Bucher as director |
| Echo Vote -- For | For | 1.2) Elect A. Hugh Ewing, III as director |
| Echo Vote -- For | For | 1.3) Elect Kenneth O'Keefe as director |
| Echo Vote -- For | For | 2) Ratify the selection of Ernst & Young LLP as the independent registered public accounting firm for the fiscal year 2009. |
| Echo Vote -- For | For | 3) Authorize the company to issue securities to subscribe to, to convert to, or purchase shares of i common stock in one or more offerings up to an aggre 10m shares |

| COMPANY NAME | MEETING DATE | CUSIP |
|-------------------------------|--------------|------------|
| Patriot Capital Funding, Inc. | 17-Jun-09 | 70335Y-104 |

| VOTE | FOR/AGAINST MANAGEMENT | PROPOSAL |
|------------------|---------------------------|--|
| Echo Vote -- For | For | 1.1) Elect Steven Drogin as director |
| Echo Vote -- For | For | 1.2) Elect Mel Melsheimer as director |
| Echo Vote -- For | For | 1.3) Elect Richard Sebastiao as director |
| Echo Vote -- For | For | 2) Ratify the selection of Grant Thornton LLP as the independent registered public accounting firm for the fiscal year 2009. |

| COMPANY NAME | MEETING DATE | CUSIP |
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Arbor Realty Trust

18-Jun-09

038923-108

| VOTE | FOR/AGAINST MANAGEMENT | PROPOSAL |
|------------------|---------------------------|---|
| Echo Vote -- For | For | 1.1) Elect Walter Horn as director |
| Echo Vote -- For | For | 1.2) Elect William Helmreich as director |
| Echo Vote -- For | For | 1.3) Elect Karen Edwards as director |
| Echo Vote -- For | For | 2) Amend & restate the company's 2003 Omnibus Stock Incentive Plan |
| Echo Vote -- For | For | 3) Ratify the selection of Ernst & Young LLP as the independent registered public accounting firm for the fiscal year 2009. |

| COMPANY NAME | MEETING DATE | CUSIP |
|------------------|--------------|------------|
| Gramercy Capital | 18-Jun-09 | 384871-109 |

| VOTE | FOR/AGAINST MANAGEMENT | PROPOSAL |
|------------------|---------------------------|---|
| Echo Vote -- For | For | 1.1) Elect Allan Baum as director |
| Echo Vote -- For | For | 1.2) Elect Roger Cozzi as director |
| Echo Vote -- For | For | 2) Ratify the selection of Ernst & Young LLP as the independent registered public accounting firm for the fiscal year 2009. |

| COMPANY NAME | MEETING DATE | CUSIP |
|--------------|--------------|------------|
| TICC Capital | 18-Jun-09 | 87244T-109 |

| VOTE | FOR/AGAINST MANAGEMENT | PROPOSAL |
|------------------|---------------------------|--|
| Echo Vote -- For | For | 1.1) Elect Jonathan Cohen as director |
| Echo Vote -- For | For | 1.2) Elect G. Peter O'Brien as director |
| Echo Vote -- For | For | 2) Ratify the selection of PricewaterhouseCoopers LLP as the independent registered public accounting firm for the fiscal year 2009. |

| COMPANY NAME | MEETING DATE | CUSIP |
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Fifth Street Finance Corp.

24-Jun-09

31678A-103

| VOTE | FOR/AGAINST MANAGEMENT | PROPOSAL |
|------------------|---------------------------|--|
| Echo Vote -- For | For | 1) Authorize the company to sell shares of its common stock at a price below the then-current NAV per share for the company. |

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

By (Signature and Title)* /s/ James A. Bowen

James A. Bowen, President

Date August 31, 2009

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