

Edgar Filing: GDL FUND - Form NSAR-A

GDL FUND  
Form NSAR-A  
August 29, 2013

PAGE 1  
000 A000000 06/30/2013  
000 C000000 0001378701  
000 D000000 N  
000 E000000 NF  
000 F000000 Y  
000 G000000 N  
000 H000000 N  
000 I000000 6.1  
000 J000000 A  
001 A000000 THE GDL FUND  
001 B000000 811-21969  
001 C000000 9149215100  
002 A000000 ONE CORPORATE CENTER  
002 B000000 RYE  
002 C000000 NY  
002 D010000 10580  
002 D020000 1422  
003 000000 N  
004 000000 N  
005 000000 N  
006 000000 N  
007 A000000 N  
007 B000000 0  
007 C010100 1  
008 A000001 GABELLI FUNDS, LLC  
008 B000001 A  
008 C000001 801-37706  
008 D010001 RYE  
008 D020001 NY  
008 D030001 10580  
008 D040001 1422  
010 A000001 GABELLI FUNDS, LLC  
010 B000001 801-37706  
010 C010001 RYE  
010 C020001 NY  
010 C030001 10580  
010 C040001 1422  
010 A000002 BNY MELLON INVESTMENT SERVICING (US) INC.  
010 B000002 84-01761  
010 C010002 WILMINGTON  
010 C020002 DE  
010 C030002 19809  
012 A000001 AMERICAN STOCK TRANSFER & TRUST COMPANY  
012 B000001 84-00416  
012 C010001 NEW YORK  
012 C020001 NY  
012 C030001 10038  
013 A000001 ERNST & YOUNG LLP  
013 B010001 NEW YORK  
013 B020001 NY  
013 B030001 10036  
PAGE 2  
014 A000001 G.RESEARCH, INC.  
014 B000001 8-21373  
014 A000002 G.DISTRIBUTORS, LLC  
014 B000002 8-68697  
015 A000001 THE BANK OF NEW YORK MELLON  
015 B000001 C

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015 C010001 EVERETT  
015 C020001 MA  
015 C030001 02149  
015 E010001 X  
018 000000 Y  
019 A000000 Y  
019 B000000 31  
019 C000000 GABELLIGRP  
020 A000001 G.RESEARCH, INC.  
020 B000001 13-2885006  
020 C000001 161  
020 A000002 GUGGENHEIM INVESTOR SERVICES, LLC  
020 B000002 30-0003311  
020 C000002 16  
020 A000003 BNY CONVERGEX EXECUTION SOLUTIONS LLC  
020 B000003 13-3989198  
020 C000003 15  
020 A000004 MKM PARTNERS LLC  
020 B000004 13-4171600  
020 C000004 10  
020 A000005 BMO NESBITT BURNS SECURITIES LTD.  
020 B000005 10-3854261  
020 C000005 6  
020 A000006 RBC CAPITAL MARKETS CORP.  
020 B000006 41-1228350  
020 C000006 5  
020 A000007 BAY CREST PARTNERS LLC  
020 B000007 13-3697789  
020 C000007 5  
020 A000008 ITG, INC.  
020 B000008 95-4339369  
020 C000008 4  
020 A000009 BOSTON INVESTMENT SECURITIES CORP.  
020 B000009 04-2844338  
020 C000009 2  
020 A000010 DAIWA SECURITIES AMERICA, INC.  
020 B000010 13-5680329  
020 C000010 1  
021 000000 228  
022 A000001 BARCLAYS CAPITAL, INC.  
022 B000001 06-1031656  
022 C000001 280185  
022 D000001 238733  
022 A000002 DAIWA SECURITIES AMERICA, INC.  
022 B000002 13-5680329  
PAGE 3  
022 C000002 50479  
022 D000002 0  
022 A000003 CONCEPTUS INC.  
022 B000003 97-3170244  
022 C000003 0  
022 D000003 10850  
022 A000004 MAP PHARMACEUTICALS, INC.  
022 B000004 20-0507047  
022 C000004 0  
022 D000004 7363  
022 A000005 GRUPO MODELO S.A.B.  
022 C000005 0  
022 D000005 5936  
022 A000006 JUPITER TELECOMMUNICATIONS  
022 C000006 0  
022 D000006 4260

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|     |         |                         |        |
|-----|---------|-------------------------|--------|
| 022 | A000007 | CARIBOU COFFEE CO., INC |        |
| 022 | C000007 |                         | 0      |
| 022 | D000007 |                         | 3254   |
| 022 | A000008 | CASCADE CORP.           |        |
| 022 | C000008 |                         | 0      |
| 022 | D000008 |                         | 2145   |
| 022 | A000009 | RIEBER & SON ASA        |        |
| 022 | C000009 |                         | 0      |
| 022 | D000009 |                         | 1494   |
| 022 | A000010 | SAUER-DANFOSS, INC.     |        |
| 022 | C000010 |                         | 0      |
| 022 | D000010 |                         | 1170   |
| 023 | C000000 |                         | 331602 |
| 023 | D000000 |                         | 276519 |
| 024 | 000000  | N                       |        |
| 026 | A000000 | N                       |        |
| 026 | B000000 | Y                       |        |
| 026 | C000000 | N                       |        |
| 026 | D000000 | Y                       |        |
| 026 | E000000 | N                       |        |
| 026 | F000000 | Y                       |        |
| 026 | G010000 | N                       |        |
| 026 | G020000 | N                       |        |
| 026 | H000000 | N                       |        |
| 027 | 000000  | N                       |        |
| 028 | A010000 |                         | 0      |
| 028 | A020000 |                         | 0      |
| 028 | A030000 |                         | 0      |
| 028 | A040000 |                         | 0      |
| 028 | B010000 |                         | 0      |
| 028 | B020000 |                         | 0      |
| 028 | B030000 |                         | 0      |
| 028 | B040000 |                         | 0      |
| 028 | C010000 |                         | 0      |
| 028 | C020000 |                         | 0      |
|     | PAGE    | 4                       |        |
| 028 | C030000 |                         | 0      |
| 028 | C040000 |                         | 0      |
| 028 | D010000 |                         | 0      |
| 028 | D020000 |                         | 0      |
| 028 | D030000 |                         | 0      |
| 028 | D040000 |                         | 0      |
| 028 | E010000 |                         | 0      |
| 028 | E020000 |                         | 0      |
| 028 | E030000 |                         | 0      |
| 028 | E040000 |                         | 0      |
| 028 | F010000 |                         | 0      |
| 028 | F020000 |                         | 0      |
| 028 | F030000 |                         | 0      |
| 028 | F040000 |                         | 0      |
| 028 | G010000 |                         | 0      |
| 028 | G020000 |                         | 0      |
| 028 | G030000 |                         | 0      |
| 028 | G040000 |                         | 0      |
| 028 | H000000 |                         | 0      |
| 030 | A000000 |                         | 0      |
| 030 | B000000 |                         | 0.00   |
| 030 | C000000 |                         | 0.00   |
| 031 | A000000 |                         | 0      |
| 031 | B000000 |                         | 0      |
| 032 | 000000  |                         | 0      |
| 033 | 000000  |                         | 0      |

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|     |         |       |
|-----|---------|-------|
| 035 | 000000  | 0     |
| 036 | B000000 | 0     |
| 038 | 000000  | 0     |
| 042 | A000000 | 0     |
| 042 | B000000 | 0     |
| 042 | C000000 | 0     |
| 042 | D000000 | 0     |
| 042 | E000000 | 0     |
| 042 | F000000 | 0     |
| 042 | G000000 | 0     |
| 042 | H000000 | 0     |
| 043 | 000000  | 0     |
| 044 | 000000  | 0     |
| 045 | 000000  | Y     |
| 046 | 000000  | N     |
| 047 | 000000  | Y     |
| 048 | 000000  | 0.500 |
| 048 | A010000 | 0     |
| 048 | A020000 | 0.000 |
| 048 | B010000 | 0     |
| 048 | B020000 | 0.000 |
| 048 | C010000 | 0     |
| 048 | C020000 | 0.000 |
| 048 | D010000 | 0     |
| 048 | D020000 | 0.000 |
|     | PAGE    | 5     |
| 048 | E010000 | 0     |
| 048 | E020000 | 0.000 |
| 048 | F010000 | 0     |
| 048 | F020000 | 0.000 |
| 048 | G010000 | 0     |
| 048 | G020000 | 0.000 |
| 048 | H010000 | 0     |
| 048 | H020000 | 0.000 |
| 048 | I010000 | 0     |
| 048 | I020000 | 0.000 |
| 048 | J010000 | 0     |
| 048 | J020000 | 0.000 |
| 048 | K010000 | 0     |
| 048 | K020000 | 0.000 |
| 049 | 000000  | N     |
| 050 | 000000  | N     |
| 051 | 000000  | Y     |
| 052 | 000000  | N     |
| 053 | A000000 | N     |
| 054 | A000000 | Y     |
| 054 | B000000 | Y     |
| 054 | C000000 | Y     |
| 054 | D000000 | N     |
| 054 | E000000 | N     |
| 054 | F000000 | N     |
| 054 | G000000 | N     |
| 054 | H000000 | N     |
| 054 | I000000 | N     |
| 054 | J000000 | Y     |
| 054 | K000000 | N     |
| 054 | L000000 | N     |
| 054 | M000000 | Y     |
| 054 | N000000 | N     |
| 054 | O000000 | N     |
| 055 | A000000 | N     |
| 055 | B000000 | N     |

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056 000000 Y  
057 000000 N  
058 A000000 N  
059 000000 Y  
060 A000000 Y  
060 B000000 Y  
061 000000 0  
062 A000000 N  
062 B000000 0.0  
062 C000000 0.0  
062 D000000 0.0  
062 E000000 0.0  
062 F000000 0.0  
062 G000000 0.0  
062 H000000 0.0  
PAGE 6  
062 I000000 0.0  
062 J000000 0.0  
062 K000000 0.0  
062 L000000 0.0  
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062 N000000 0.0  
062 O000000 0.0  
062 P000000 0.0  
062 Q000000 0.0  
062 R000000 0.0  
063 A000000 0  
063 B000000 0.0  
066 A000000 Y  
066 B000000 N  
066 C000000 N  
066 D000000 N  
066 E000000 N  
066 F000000 N  
066 G000000 Y  
067 000000 N  
068 A000000 N  
068 B000000 N  
069 000000 N  
070 A010000 Y  
070 A020000 N  
070 B010000 Y  
070 B020000 N  
070 C010000 Y  
070 C020000 N  
070 D010000 Y  
070 D020000 N  
070 E010000 Y  
070 E020000 N  
070 F010000 Y  
070 F020000 N  
070 G010000 Y  
070 G020000 N  
070 H010000 Y  
070 H020000 N  
070 I010000 Y  
070 I020000 N  
070 J010000 Y  
070 J020000 N  
070 K010000 Y  
070 K020000 N  
070 L010000 Y

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|       |         |   |        |
|-------|---------|---|--------|
| 070   | L020000 | Y |        |
| 070   | M010000 | Y |        |
| 070   | M020000 | Y |        |
| 070   | N010000 | Y |        |
| 070   | N020000 | N |        |
|       | PAGE    | 7 |        |
| 070   | O010000 | N |        |
| 070   | O020000 | N |        |
| 070   | P010000 | Y |        |
| 070   | P020000 | N |        |
| 070   | Q010000 | N |        |
| 070   | Q020000 | N |        |
| 070   | R010000 | Y |        |
| 070   | R020000 | Y |        |
| 071   | A000000 |   | 330168 |
| 071   | B000000 |   | 280399 |
| 071   | C000000 |   | 196217 |
| 071   | D000000 |   | 143    |
| 072   | A000000 |   | 6      |
| 072   | B000000 |   | 213    |
| 072   | C000000 |   | 4670   |
| 072   | D000000 |   | 0      |
| 072   | E000000 |   | 0      |
| 072   | F000000 |   | 2386   |
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| 072   | H000000 |   | 68     |
| 072   | I000000 |   | 12     |
| 072   | J000000 |   | 24     |
| 072   | K000000 |   | 0      |
| 072   | L000000 |   | 72     |
| 072   | M000000 |   | 75     |
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| 072   | O000000 |   | 0      |
| 072   | P000000 |   | 2086   |
| 072   | Q000000 |   | 23     |
| 072   | R000000 |   | 13     |
| 072   | S000000 |   | 12     |
| 072   | T000000 |   | 0      |
| 072   | U000000 |   | 0      |
| 072   | V000000 |   | 0      |
| 072   | W000000 |   | 233    |
| 072   | X000000 |   | 5004   |
| 072   | Y000000 |   | 0      |
| 072   | Z000000 |   | -121   |
| 072AA | 000000  |   | 6985   |
| 072BB | 000000  |   | 0      |
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| 072CC | 020000  |   | 0      |
| 072DD | 010000  |   | 1212   |
| 072DD | 020000  |   | 0      |
| 072EE | 000000  |   | 3500   |
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| 073   | A020000 |   | 0.0000 |
| 073   | B000000 |   | 0.1700 |
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| 074   | B000000 |   | 0      |
|       | PAGE    | 8 |        |
| 074   | C000000 |   | 187533 |
| 074   | D000000 |   | 922    |
| 074   | E000000 |   | 0      |
| 074   | F000000 |   | 234103 |

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|           |                     |                                      |
|-----------|---------------------|--------------------------------------|
| 074       | G000000             | 0                                    |
| 074       | H000000             | 0                                    |
| 074       | I000000             | 378                                  |
| 074       | J000000             | 48                                   |
| 074       | K000000             | 0                                    |
| 074       | L000000             | 7171                                 |
| 074       | M000000             | 497                                  |
| 074       | N000000             | 430653                               |
| 074       | O000000             | 14052                                |
| 074       | P000000             | 1614                                 |
| 074       | Q000000             | 0                                    |
| 074       | R010000             | 0                                    |
| 074       | R020000             | 5887                                 |
| 074       | R030000             | 0                                    |
| 074       | R040000             | 136393                               |
| 074       | S000000             | 0                                    |
| 074       | T000000             | 272707                               |
| 074       | U010000             | 21036                                |
| 074       | U020000             | 0                                    |
| 074       | V010000             | 12.96                                |
| 074       | V020000             | 0.00                                 |
| 074       | W000000             | 0.0000                               |
| 074       | X000000             | 13224                                |
| 074       | Y000000             | 44328                                |
| 075       | A000000             | 0                                    |
| 075       | B000000             | 418027                               |
| 076       | 000000              | 11.39                                |
| 077       | A000000             | N                                    |
| 078       | 000000              | N                                    |
| 080       | C000000             | 0                                    |
| 081       | B000000             | 0                                    |
| 082       | B000000             | 0                                    |
| 083       | B000000             | 0                                    |
| 084       | B000000             | 0                                    |
| 086       | A010000             | 0                                    |
| 086       | A020000             | 0                                    |
| 086       | B010000             | 10                                   |
| 086       | B020000             | 120                                  |
| 086       | C010000             | 0                                    |
| 086       | C020000             | 0                                    |
| 086       | D010000             | 0                                    |
| 086       | D020000             | 0                                    |
| 086       | E010000             | 0                                    |
| 086       | E020000             | 0                                    |
| 086       | F010000             | 0                                    |
| 086       | F020000             | 0                                    |
| 087       | A010000             | COMMON STOCK                         |
|           | PAGE                | 9                                    |
| 087       | A020000             | 361570104                            |
| 087       | A030000             | GDL                                  |
| 087       | B010000             | SERIES B CUMULATIVE PREFERRED SHARES |
| 087       | B020000             | 361570302                            |
| 087       | B030000             | GDL PR B                             |
| 088       | A000000             | N                                    |
| 088       | B000000             | N                                    |
| 088       | C000000             | N                                    |
| 088       | D000000             | Y                                    |
| SIGNATURE | SCOTT R. FUCHS      |                                      |
| TITLE     | ASSISTANT TREASURER |                                      |