

FIRST TRUST SPECIALTY FINANCE & FINANCIAL OPPORTUNITIES FUND

Form NSAR-B

January 23, 2015

PAGE 1  
000 B000000 11/30/2014  
000 C000000 1392994  
000 D000000 N  
000 E000000 NF  
000 F000000 Y  
000 G000000 N  
000 H000000 N  
000 I000000 6.1  
000 J000000 A  
001 A000000 FT SPECIALTY FINANCE & FINANCIAL OPP FUND  
001 B000000 811-22039  
001 C000000 6307658000  
002 A000000 120 E. Liberty Drive, Suite 400  
002 B000000 Wheaton  
002 C000000 IL  
002 D010000 60187  
003 000000 N  
004 000000 N  
005 000000 N  
006 000000 N  
007 A000000 N  
007 B000000 0  
007 C010100 1  
008 A000001 FIRST TRUST ADVISORS L.P.  
008 B000001 A  
008 C000001 801-39950  
008 D010001 Wheaton  
008 D020001 IL  
008 D030001 60187  
008 A000002 CONFLUENCE INVESTMENT MANAGEMENT LLC  
008 B000002 S  
008 C000002 801-68723  
008 D010002 Saint Louis  
008 D020002 MO  
008 D030002 63119  
010 A000001 BNY MELLON INVESTMENT SERVICING (US) INC.  
010 B000001 84-1761  
010 C010001 WILMINGTON  
010 C020001 DE  
010 C030001 19809  
011 A000001 A.G. EDWARDS & SONS INC.  
011 B000001 8-013580  
011 C010001 ST. LOUIS  
011 C020001 MO  
011 C030001 63103  
012 A000001 BNY MELLON INVESTMENT SERVICING (US) INC.  
012 B000001 84-1761  
012 C010001 WILMINGTON  
012 C020001 DE  
012 C030001 19809  
013 A000001 DELOITTE & TOUCHE LLP  
PAGE 2  
013 B010001 CHICAGO  
013 B020001 IL  
013 B030001 60606  
013 B040001 4301  
015 A000001 THE BANK OF NEW YORK MELLON  
015 B000001 C

Edgar Filing: FIRST TRUST SPECIALTY FINANCE & FINANCIAL OPPORTUNITIES FUND - Form NSAR-B

015 C010001 NEW YORK  
015 C020001 NY  
015 C030001 10286  
018 000000 Y  
019 A000000 Y  
019 B000000 114  
019 C000000 FIRSTDEFIN  
020 A000001 WELLS FARGO  
020 B000001 41-0449260  
020 C000001 46  
020 A000002 STIFEL, NICOLAUS & CO. INC.  
020 B000002 43-0538770  
020 C000002 45  
020 A000003 JPMORGAN CHASE & CO  
020 B000003 13-3224016  
020 C000003 14  
020 A000004 RBC CAPITAL MARKETS CORP.  
020 B000004 13-5033225  
020 C000004 10  
021 000000 115  
022 A000001 WELLS FARGO  
022 B000001 41-0449260  
022 C000001 5083  
022 D000001 0  
022 A000002 JPMORGAN CHASE & CO.  
022 B000002 13-2624428  
022 C000002 614  
022 D000002 0  
022 A000003 DEUTSCHE BANK  
022 B000003 13-6124068  
022 C000003 388  
022 D000003 0  
022 A000004 RAYMOND JAMES & ASSOCIATES INC.  
022 B000004 59-1237041  
022 C000004 300  
022 D000004 0  
022 A000005 STIFEL, NICOLAUS & CO. INC.  
022 B000005 43-0538770  
022 C000005 150  
022 D000005 0  
023 C000000 6535  
023 D000000 0  
024 000000 N  
026 A000000 N  
026 B000000 N  
PAGE 3  
026 C000000 N  
026 D000000 Y  
026 E000000 N  
026 F000000 N  
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

Edgar Filing: FIRST TRUST SPECIALTY FINANCE & FINANCIAL OPPORTUNITIES FUND - Form NSAR-B

028	C010000	0
028	C020000	0
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
035	000000	0
036	B000000	0
038	000000	0
042	A000000	0
042	B000000	0
042	C000000	0
042	D000000	0
	PAGE 4	
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	1.000
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
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

Edgar Filing: FIRST TRUST SPECIALTY FINANCE & FINANCIAL OPPORTUNITIES FUND - Form NSAR-B

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 N  
 052 000000 N  
 053 A000000 N  
 054 A000000 Y  
 054 B000000 Y  
 054 C000000 N  
 054 D000000 N  
 054 E000000 N  
 054 F000000 N  
 054 G000000 Y  
 054 H000000 Y  
 054 I000000 N  
 054 J000000 Y  
 054 K000000 N  
 054 L000000 N  
 054 M000000 Y  
 054 N000000 Y  
 PAGE 5  
 054 O000000 Y  
 055 A000000 N  
 055 B000000 Y  
 056 000000 Y  
 057 000000 N  
 058 A000000 N  
 059 000000 Y  
 060 A000000 N  
 060 B000000 N  
 061 000000 2000  
 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  
 062 I000000 0.0  
 062 J000000 0.0  
 062 K000000 0.0  
 062 L000000 0.0  
 062 M000000 0.0  
 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 Y

Edgar Filing: FIRST TRUST SPECIALTY FINANCE & FINANCIAL OPPORTUNITIES FUND - Form NSAR-B

066 G000000 N  
 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

PAGE 6

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 Y  
 070 L010000 Y  
 070 L020000 Y  
 070 M010000 Y  
 070 M020000 Y  
 070 N010000 Y  
 070 N020000 N  
 070 O010000 Y  
 070 O020000 Y  
 070 P010000 N  
 070 P020000 N  
 070 Q010000 N  
 070 Q020000 N  
 070 R010000 Y  
 070 R020000 N

071 A000000 19237  
 071 B000000 18980  
 071 C000000 139577  
 071 D000000 14  
 072 A000000 12  
 072 B000000 0  
 072 C000000 11290  
 072 D000000 0  
 072 E000000 20  
 072 F000000 1415  
 072 G000000 128  
 072 H000000 0  
 072 I000000 0  
 072 J000000 18  
 072 K000000 0  
 072 L000000 61  
 072 M000000 17  
 072 N000000 0  
 072 O000000 0  
 072 P000000 217

Edgar Filing: FIRST TRUST SPECIALTY FINANCE & FINANCIAL OPPORTUNITIES FUND - Form NSAR-B

072 Q000000 0  
 072 R000000 48  
 072 S000000 8  
 072 T000000 0  
 072 U000000 0

PAGE 7

072 V000000 0  
 072 W000000 81  
 072 X000000 1993  
 072 Y000000 0  
 072 Z000000 9317  
 072AA000000 0  
 072BB000000 6664  
 072CC010000 0  
 072CC020000 5584  
 072DD010000 0  
 072DD020000 0  
 072EE000000 0  
 073 A010000 0.0000  
 073 A020000 0.0000  
 073 B000000 0.0000  
 073 C000000 0.0000  
 074 A000000 3727  
 074 B000000 0  
 074 C000000 0  
 074 D000000 0  
 074 E000000 0  
 074 F000000 133866  
 074 G000000 0  
 074 H000000 0  
 074 I000000 0  
 074 J000000 402  
 074 K000000 0  
 074 L000000 340  
 074 M000000 4  
 074 N000000 138339  
 074 O000000 0  
 074 P000000 112  
 074 Q000000 25000  
 074 R010000 0  
 074 R020000 0  
 074 R030000 0  
 074 R040000 2832  
 074 S000000 0  
 074 T000000 110395  
 074 U010000 14295  
 074 U020000 0  
 074 V010000 7.72  
 074 V020000 0.00  
 074 W000000 0.0000  
 074 X000000 8  
 074 Y000000 90649  
 075 A000000 0  
 075 B000000 116456  
 076 000000 8.58

077 A000000 Y  
 077 B000000 Y

PAGE 8

077 C000000 N  
 077 D000000 N  
 077 E000000 N  
 077 F000000 N

Edgar Filing: FIRST TRUST SPECIALTY FINANCE & FINANCIAL OPPORTUNITIES FUND - Form NSAR-B

077 G000000 N  
077 H000000 N  
077 I000000 N  
077 J000000 N  
077 K000000 N  
077 L000000 N  
077 M000000 N  
077 N000000 N  
077 O000000 N  
077 P000000 N  
077 Q010000 N  
077 Q020000 N  
077 Q030000 N  
078 000000 N  
080 A000000 ICI MUTUAL INSURANCE COMPANY  
080 B000000 None  
080 C000000 27000  
081 A000000 Y  
081 B000000 117  
082 A000000 Y  
082 B000000 50  
083 A000000 N  
083 B000000 0  
084 A000000 N  
084 B000000 0  
085 A000000 Y  
085 B000000 N  
086 A010000 0  
086 A020000 0  
086 B010000 0  
086 B020000 0  
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  
087 A020000 33733G109  
087 A030000 FGB  
088 A000000 N  
088 B000000 N  
088 C000000 N  
088 D000000 N  
SIGNATURE JAMES M. DYKAS  
TITLE TREASURER