

FIRST TRUST SPECIALTY FINANCE & FINANCIAL OPPORTUNITIES FUND

Form NSAR-B/A

March 18, 2014

PAGE 1  
000 B000000 11/30/2013  
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/A

015 C010001 NEW YORK  
015 C020001 NY  
015 C030001 10286  
018 000000 Y  
019 A000000 Y  
019 B000000 105  
019 C000000 FIRSTDEFIN  
020 A000001 STIFEL, NICOLAUS & CO. INC.  
020 B000001 43-0538770  
020 C000001 26  
020 A000002 WELLS FARGO  
020 B000002 41-0449260  
020 C000002 15  
020 A000003 JPMORGAN CHASE & CO  
020 B000003 13-3224016  
020 C000003 10  
020 A000004 RBC CAPITAL MARKETS CORP.  
020 B000004 13-5033225  
020 C000004 5  
021 000000 56  
022 A000001 STIFEL, NICOLAUS & CO. INC.  
022 B000001 43-0538770  
022 C000001 3430  
022 D000001 0  
022 A000002 WELLS FARGO  
022 B000002 41-0449260  
022 C000002 2609  
022 D000002 0  
022 A000003 Dain Bosworth, Inc.  
022 C000003 1051  
022 D000003 0  
022 A000004 CITI GROUP  
022 B000004 13-5266470  
022 C000004 1006  
022 D000004 0  
022 A000005 RAYMOND JAMES & ASSOCIATES INC.  
022 B000005 59-1237041  
022 C000005 970  
022 D000005 0  
022 A000006 DEUTSCHE BANK  
022 B000006 13-6124068  
022 C000006 400  
022 D000006 0  
022 A000007 Merriman Curham  
022 B000007 11-2936371  
PAGE 3  
022 C000007 389  
022 D000007 0  
022 A000008 BARCLAYS CAPITAL, INC.  
022 B000008 06-1031656  
022 C000008 161  
022 D000008 0  
022 A000009 CREDIT SUISSE FIRST BOSTON CORP.  
022 B000009 13-5659485  
022 C000009 135  
022 D000009 0  
022 A000010 JPMORGAN CHASE & CO.  
022 B000010 13-2624428  
022 C000010 115  
022 D000010 0  
023 C000000 10266  
023 D000000 0

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

024	000000	N	
026	A000000	N	
026	B000000	N	
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
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
	PAGE	4	
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
042	E000000		0
042	F000000		0
042	G000000		0
042	H000000		0
043	000000		0
044	000000		0
045	000000	Y	

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

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  
048 I010000 0  
048 I020000 0.000  
048 J010000 0  
048 J020000 0.000  
048 K010000 0  
048 K020000 0.000

PAGE 5

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  
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

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

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  
PAGE 6  
066 C000000 N  
066 D000000 N  
066 E000000 N  
066 F000000 Y  
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  
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  
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

22586

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

071 B000000 19509  
 071 C000000 13978  
 071 D000000 13  
 072 A000000 12  
 072 B000000 1

PAGE 7

072 C000000 10962  
 072 D000000 0  
 072 E000000 5  
 072 F000000 1426  
 072 G000000 129  
 072 H000000 0  
 072 I000000 0  
 072 J000000 17  
 072 K000000 0  
 072 L000000 61  
 072 M000000 0  
 072 N000000 0  
 072 O000000 0  
 072 P000000 264  
 072 Q000000 0  
 072 R000000 48  
 072 S000000 12  
 072 T000000 0  
 072 U000000 0  
 072 V000000 0  
 072 W000000 93  
 072 X000000 2050  
 072 Y000000 0  
 072 Z000000 8918  
 072AA000000 473  
 072BB000000 0  
 072CC010000 11028  
 072CC020000 0  
 072DD010000 0  
 072DD020000 0  
 072EE000000 0  
 073 A010000 0.0000  
 073 A020000 0.0000  
 073 B000000 0.0000  
 073 C000000 0.0000  
 074 A000000 3258  
 074 B000000 0  
 074 C000000 0  
 074 D000000 0  
 074 E000000 0  
 074 F000000 146555  
 074 G000000 0  
 074 H000000 0  
 074 I000000 611  
 074 J000000 0  
 074 K000000 0  
 074 L000000 305  
 074 M000000 5  
 074 N000000 150734  
 074 O000000 0  
 074 P000000 120

PAGE 8

074 Q000000 25000  
 074 R010000 0  
 074 R020000 0  
 074 R030000 0

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

074	R040000	2533
074	S000000	0
074	T000000	123081
074	U010000	14291
074	U020000	0
074	V010000	8.61
074	V020000	0.00
074	W000000	0.0000
074	X000000	8
074	Y000000	95066
075	A000000	0
075	B000000	118695
076	000000	8.19
077	A000000	Y
077	B000000	Y
077	C000000	N
077	D000000	N
077	E000000	N
077	F000000	N
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	23000
081	A000000	Y
081	B000000	108
082	A000000	N
082	B000000	0
083	A000000	N
083	B000000	0
084	A000000	N
084	B000000	0
085	A000000	Y
085	B000000	N
086	A010000	0
	PAGE	9
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