

FIRST TRUST SPECIALTY FINANCE & FINANCIAL OPPORTUNITIES FUND

Form DEFA14A

October 07, 2008

SCHEDULE 14A  
INFORMATION REQUIRED IN PROXY STATEMENT

SCHEDULE 14A INFORMATION  
Proxy Statement Pursuant to Section 14(a) of the Securities  
Exchange Act of 1934 (Amendment No. )

Filed by the registrant  [X]

Filed by a party other than the registrant  [ ]

Check the appropriate box:

[ ] Preliminary Proxy Statement

[ ] Confidential, for Use of the Commission Only (as permitted by  
Rule 14a-6(e)(2))

[ ] Definitive Proxy Statement

[ ] Definitive Additional Materials

[X] Soliciting Material under ss. 240.14a-12

First Trust Specialty Finance and Financial Opportunities Fund

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(Name of Registrant as Specified in Its Charter)

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(Name of Person(s) Filing Proxy Statement)

Payment of filing fee (Check the appropriate box):

[X] No Fee Required.

[ ] Fee computed on table below per Exchange Act Rules 14a-6(i)(4) and 0-11.

(1) Title of each class of securities to which transaction applies:

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(2) Aggregate number of securities to which transaction applies:

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(3) Per unit price or other underlying value of transaction computed  
pursuant to Exchange Act Rule 0-11:(1)

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(4) Proposed maximum aggregate value of transaction:

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(5) Total fee paid:

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[ ] Fee paid previously with preliminary materials.

[ ] Check box if any part of the fee is offset as provided by Exchange Act Rule 0-11(a)(2) and identify the filing for which the offsetting fee was paid previously. Identify the previous filing by registration statement number, or the form or schedule and the date of its filing.

(1) Amount previously paid:  
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(2) Form, schedule or registration statement no.:  
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(3) Filing party:  
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(4) Date filed:  
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(1) Set forth the amount on which the filing fee is calculated and state how it was determined.

TELEPHONE SCRIPT: FIRST TRUST SPECIALTY FINANCE AND FINANCIAL OPPORTUNITIES FUND

INTRODUCTION

Good (morning, afternoon, evening,) my name is (Full Name). I am calling on behalf of a current investment with the FIRST TRUST SPECIALTY FINANCE AND FINANCIAL OPPORTUNITIES FUND. May I please speak with Mr./Mrs. (full name)?

Good \_\_\_\_\_ Mr./Mrs. \_\_\_\_\_, I wanted to confirm that you have received the proxy material for the shareholder meeting scheduled for November 17th. Have you received that proxy information?

RESPONSES

IF "YES" OR POSITIVE RESPONSE:

If you're not able to attend the meeting, I can record your voting instructions over the phone. YOUR BOARD OF TRUSTEES IS RECOMMENDING A VOTE IN FAVOR. Would you like to vote along with the recommendations of your Board?

(IF more than one investment) Would you like to vote all of your accounts in the same manner?

CONFIRMATION - I am recording your (in favor/against/abstain) vote.

For confirmation purposes:

- o Please state your full name. (pause for response)
- o According to our records, you reside in (city, state, zip code). (pause)
- o To ensure that we have the correct address for the written confirmation, please state your street address. (pause for response)

"Thank you. You will receive written confirmation of your voting instructions in 3 to 5 business days. Once you receive your confirmation, if you have any questions, feel free to contact us at the toll free number listed on the confirmation. Mr./Ms. \_\_\_\_\_, your vote is important and your time is greatly appreciated. Thank you and have a good (insert appropriate closing)."

IF "NO" OR NEGATIVE RESPONSE:

I would be happy to review the meeting agenda and record your vote by phone. HOWEVER, THE BOARD OF TRUSTEES IS RECOMMENDING A VOTE IN FAVOR.

WOULD YOU LIKE TO VOTE ALONG WITH THE BOARD'S RECOMMENDATION?

REBUTTALS

IF SHAREHOLDER ASKS WHAT WE MEAN BY "ALL ACCOUNTS IN THE SAME MANNER"

"This means would you like to vote ALL of your accounts \_\_\_\_\_. " (In favor, against, or abstaining)

IF SHAREHOLDER ASKS HOW MANY ACCOUNTS HE OR SHE HAS.

"Currently my system shows \_\_\_\_ accounts, but depending on how the account is registered, additional accounts may not be grouped with your main account."

IF SHAREHOLDER WILL NOT VOTE UNTIL THE MATERIAL IS RECEIVED:

"Due to time constraints, we are e-mailing proxy materials to ensure delivery before the meeting date."