

Edgar Filing: SPECIAL OPPORTUNITIES FUND, INC. - Form NSAR-B

SPECIAL OPPORTUNITIES FUND, INC.

Form NSAR-B

March 03, 2014

000 B000000 12/31/2013
000 C000000 0000897802
000 D000000 N
000 E000000 NF
000 F000000 Y
000 G000000 N
000 H000000 N
000 I000000 6.1
000 J000000 B
001 A000000 Special Opportunities Fund, Inc.
001 B000000 811-07528
001 C000000 8776070414
002 A000000 615 East Michigan Street
002 B000000 Milwaukee
002 C000000 WI
002 D010000 53202
003 000000 N
004 000000 N
005 000000 N
006 000000 N
007 A000000 N
007 B000000 0
008 A000001 BULLDOG INVESTORS, LLC
008 B000001 A
008 C000001 801-70596
008 D010001 SADDLE BROOK
008 D020001 NJ
008 D030001 07663
010 A000001 U.S. BANCORP FUND SERVICES, LLC
010 B000001 85-11357
010 C010001 MILWAUKEE
010 C020001 WI
010 C030001 53202
012 A000001 AMERICAN STOCK TRANSFER & TRUST COMPANY, LLC
012 B000001 84-00416
012 C010001 NEW YORK
012 C020001 NY
012 C030001 10038
013 A000001 TAIT, WELLER & BAKER LLP
013 B010001 PHILADELPHIA
013 B020001 PA
013 B030001 19103
015 A000001 U.S. BANK, N.A.
015 B000001 C
015 C010001 MILWAUKEE
015 C020001 WI
015 C030001 53212
015 E010001 X
018 000000 Y
019 A000000 N
019 B000000
020 A000001 MERLIN SECURITIES, LLC
020 B000001 84-1642266
020 C000001 80
020 A000002 CANTOR FITZGERALD & CO.
020 B000002 13-3680184
020 C000002 35
020 A000003 RAYMOND JAMES & ASSOCIATES, INC.
020 B000003 59-1237041

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020 C000003 26
020 A000004 WALLACH BETH
020 B000004 00-0000000
020 C000004 22
020 A000005 WELLS FARGO BANK N.A.
020 B000005 94-1347393
020 C000005 4
020 A000006 JONES & ASSOCIATES, INC.
020 B000006 95-3583430
020 C000006 3
020 A000007 LEGEND CAPITAL MANAGEMENT
020 B000007 00-0000000
020 C000007 3
020 A000008 MAXIM GROUP, LLC
020 B000008 04-3640096
020 C000008 3
020 A000009 PERSHING LLC
020 B000009 13-2741729
020 C000009 2
020 A000010 J.P. MORGAN CHASE & CO.
020 B000010 13-3224016
020 C000010 2
021 000000 187
022 A000001 NATIONAL FINANCIAL SERVICE CORP
022 B000001 43-523567
022 C000001 5657
022 D000001 0
022 A000002 MAXIM FINANCIAL CORP.
022 B000002 04-3640096
022 C000002 4561
022 D000002 0
022 A000003 CEDE
022 B000003 00-0000000
022 C000003 3894
022 D000003 0
022 A000004 LADENBURG THALMAN & CO.
022 B000004 13-2700032
022 C000004 1972
022 D000004 0
022 A000005 CITIGROUP GLOBAL MARKETS INC.
022 B000005 11-2418191
022 C000005 1835
022 D000005 0
022 A000006 SECONDMARKET INC.
022 B000006 00-0000000
022 C000006 1512
022 D000006 0
022 A000007 EARLY BIRD CAPITAL INC.
022 B000007 65-0379410
022 C000007 1326
022 D000007 38
022 A000008 COMPASS POINT RESEARCH & TRADING
022 B000008 43-593202
022 C000008 1011
022 D000008 0
022 A000009 CHARDAN CAPITAL MARKETS, LLC
022 B000009 13-4158698
022 C000009 299
022 D000009 662
022 A000010 THE PRINCERIDGE GROUP LLC
022 B000010 00-0000000
022 C000010 915

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| | | |
|-----|---------|-------|
| 022 | D000010 | 0 |
| 023 | C000000 | 26158 |
| 023 | D000000 | 2020 |
| 024 | 000000 | N |
| 026 | A000000 | N |
| 026 | B000000 | Y |
| 026 | C000000 | N |
| 026 | D000000 | Y |
| 026 | E000000 | N |
| 026 | F000000 | N |
| 026 | G010000 | N |
| 026 | G020000 | N |
| 026 | H000000 | N |
| 027 | 000000 | N |
| 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 |
| 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 | N |
| 054 | O000000 | Y |
| 055 | A000000 | N |
| 055 | B000000 | N |

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| | | | |
|-----|---------|---|-----|
| 056 | 000000 | N | |
| 057 | 000000 | Y | |
| 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 |
| 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 |
| 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 | N | |
| 070 | I020000 | N | |
| 070 | J010000 | Y | |
| 070 | J020000 | Y | |
| 070 | K010000 | Y | |
| 070 | K020000 | Y | |
| 070 | L010000 | Y | |
| 070 | L020000 | Y | |
| 070 | M010000 | Y | |
| 070 | M020000 | Y | |

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| | | | |
|-------|---------|----|--------|
| 070 | N010000 | Y | |
| 070 | N020000 | N | |
| 070 | O010000 | Y | |
| 070 | O020000 | N | |
| 070 | P010000 | Y | |
| 070 | P020000 | N | |
| 070 | Q010000 | Y | |
| 070 | Q020000 | N | |
| 070 | R010000 | Y | |
| 070 | R020000 | Y | |
| 071 | A000000 | | 96675 |
| 071 | B000000 | | 96733 |
| 071 | C000000 | | 164878 |
| 071 | D000000 | | 58 |
| 072 | A000000 | 12 | |
| 072 | B000000 | | 96 |
| 072 | C000000 | | 9989 |
| 072 | D000000 | | 0 |
| 072 | E000000 | | 0 |
| 072 | F000000 | | 1722 |
| 072 | G000000 | | 106 |
| 072 | H000000 | | 56 |
| 072 | I000000 | | 21 |
| 072 | J000000 | | 45 |
| 072 | K000000 | | 0 |
| 072 | L000000 | | 76 |
| 072 | M000000 | | 149 |
| 072 | N000000 | | 24 |
| 072 | O000000 | | 0 |
| 072 | P000000 | | 0 |
| 072 | Q000000 | | 46 |
| 072 | R000000 | | 48 |
| 072 | S000000 | | 116 |
| 072 | T000000 | | 0 |
| 072 | U000000 | | 0 |
| 072 | V000000 | | 0 |
| 072 | W000000 | | 52 |
| 072 | X000000 | | 2461 |
| 072 | Y000000 | | 0 |
| 072 | Z000000 | | 7624 |
| 072AA | 000000 | | 8456 |
| 072BB | 000000 | | 0 |
| 072CC | 010000 | | 11400 |
| 072CC | 020000 | | 0 |
| 072DD | 010000 | | 7768 |
| 072DD | 020000 | | 1123 |
| 072EE | 000000 | | 7839 |
| 073 | A010000 | | 1.1000 |
| 073 | A020000 | | 0.1600 |
| 073 | B000000 | | 1.1100 |
| 073 | C000000 | | 0.0000 |
| 074 | A000000 | | 3 |
| 074 | B000000 | | 0 |
| 074 | C000000 | | 13066 |
| 074 | D000000 | | 2309 |
| 074 | E000000 | | 6625 |
| 074 | F000000 | | 24174 |
| 074 | G000000 | | 0 |
| 074 | H000000 | | 0 |
| 074 | I000000 | | 137623 |
| 074 | J000000 | | 638 |
| 074 | K000000 | | 0 |

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| | | |
|-----|---------|------------------------------------|
| 074 | L000000 | 1485 |
| 074 | M000000 | 41 |
| 074 | N000000 | 185964 |
| 074 | O000000 | 573 |
| 074 | P000000 | 153 |
| 074 | Q000000 | 0 |
| 074 | R010000 | 0 |
| 074 | R020000 | 0 |
| 074 | R030000 | 0 |
| 074 | R040000 | 53164 |
| 074 | S000000 | 0 |
| 074 | T000000 | 132074 |
| 074 | U010000 | 7062 |
| 074 | U020000 | 0 |
| 074 | V010000 | 18.69 |
| 074 | V020000 | 0.00 |
| 074 | W000000 | 0.0000 |
| 074 | X000000 | 182 |
| 074 | Y000000 | 0 |
| 075 | A000000 | 0 |
| 075 | B000000 | 134694 |
| 076 | 000000 | 17.45 |
| 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 | Y |
| 077 | K000000 | N |
| 077 | L000000 | N |
| 077 | M000000 | N |
| 077 | N000000 | N |
| 077 | O000000 | N |
| 077 | P000000 | N |
| 077 | Q010000 | N |
| 077 | Q020000 | Y |
| 077 | Q030000 | N |
| 078 | 000000 | N |
| 080 | A000000 | Chubb Group of Insurance Companies |
| 080 | C000000 | 600 |
| 081 | A000000 | N |
| 082 | A000000 | Y |
| 082 | B000000 | 25 |
| 083 | A000000 | N |
| 083 | B000000 | 0 |
| 084 | A000000 | N |
| 084 | B000000 | 0 |
| 085 | A000000 | Y |
| 085 | B000000 | N |
| 086 | A010000 | 250 |
| 086 | A020000 | 3962 |
| 086 | B010000 | 0 |
| 086 | B020000 | 0 |
| 086 | C010000 | 0 |
| 086 | C020000 | 0 |
| 086 | D010000 | 0 |
| 086 | D020000 | 0 |
| 086 | E010000 | 0 |

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086 E020000 0
086 F010000 0
086 F020000 0
087 A010000 COMMON STOCK
087 A020000 84741T104
087 A030000 SPE
087 B010000 PREFERRED STOCK
087 B020000 84741T203
087 B030000 SPE PFD
088 A000000 N
088 B000000 N
088 C000000 N
088 D000000 Y
SIGNATURE Andrew Dakos
TITLE President