

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