

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

SPECIAL OPPORTUNITIES FUND, INC.

Form NSAR-B

February 29, 2016

000 B000000 12/31/2015  
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 ADVISORS INC  
020 B000001 00-0000000  
020 C000001 57  
020 A000002 WALLACH BETH  
020 B000002 00-0000000  
020 C000002 28  
020 A000003 RAYMOND JAMES & ASSOCIATES, INC.  
020 B000003 59-1237041

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020 C000003 25  
020 A000004 WACHOVIA BANK, N.A.  
020 B000004 00-0000000  
020 C000004 21  
020 A000005 CANTOR FITZGERALD & CO.  
020 B000005 13-3680184  
020 C000005 21  
020 A000006 COMPASS POINT RESEARCH & TRADING, LLC  
020 B000006 43-593202  
020 C000006 16  
020 A000007 CREDIT RESEARCH & TRADING, LLC  
020 B000007 00-0000000  
020 C000007 7  
020 A000008 NATIONAL FINANCIAL SERVICES CORP.  
020 B000008 00-0000000  
020 C000008 5  
020 A000009 WALL STREET MANAGEMENT, INC.  
020 B000009 13-2508293  
020 C000009 4  
020 A000010 SIDOTI & COMPANY, LLC  
020 B000010 00-0000000  
020 C000010 4  
021 000000 195  
022 A000001 EARLY BIRD CAPITAL INC.  
022 B000001 65-0379410  
022 C000001 3099  
022 D000001 0  
022 A000002 CANTOR FITZGERALD & CO.  
022 B000002 95-1786286  
022 C000002 1853  
022 D000002 0  
022 A000003 DEUTSCHE BANK TRUST CO.  
022 B000003 13-3818112  
022 C000003 569  
022 D000003 90  
022 A000004 NATIONAL FINANCIAL SERVICE CORP.  
022 B000004 00-0000000  
022 C000004 469  
022 D000004 0  
022 A000005 MAXIM FINANCIAL CORP.  
022 B000005 04-3640096  
022 C000005 402  
022 D000005 0  
022 A000006 GMP SECURITIES  
022 B000006 00-0000000  
022 C000006 0  
022 D000006 357  
022 A000007 LEGENT CLEARING CORP.  
022 B000007 00-0000000  
022 C000007 356  
022 D000007 0  
022 A000008 NUMIS SECURITIES, INC.  
022 B000008 00-0000000  
022 C000008 0  
022 D000008 82  
022 A000009 CRT CAPITAL GROUP  
022 B000009 00-0000000  
022 C000009 0  
022 D000009 4  
022 A000010 WALL STREET MANAGEMENT, INC.  
022 B000010 00-0000000  
022 C000010 4

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|     |         |       |
|-----|---------|-------|
| 022 | D000010 | 0     |
| 023 | C000000 | 6752  |
| 023 | D000000 | 533   |
| 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  | Y |     |
| 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 |    | 78741  |
| 071   | B000000 |    | 85454  |
| 071   | C000000 |    | 162869 |
| 071   | D000000 |    | 48     |
| 072   | A000000 | 12 |        |
| 072   | B000000 |    | 398    |
| 072   | C000000 |    | 6388   |
| 072   | D000000 |    | 0      |
| 072   | E000000 |    | 0      |
| 072   | F000000 |    | 1738   |
| 072   | G000000 |    | 131    |
| 072   | H000000 |    | 53     |
| 072   | I000000 |    | 13     |
| 072   | J000000 |    | 43     |
| 072   | K000000 |    | 0      |
| 072   | L000000 |    | 35     |
| 072   | M000000 |    | 168    |
| 072   | N000000 |    | 62     |
| 072   | O000000 |    | 0      |
| 072   | P000000 |    | 0      |
| 072   | Q000000 |    | 52     |
| 072   | R000000 |    | 50     |
| 072   | S000000 |    | 141    |
| 072   | T000000 |    | 0      |
| 072   | U000000 |    | 0      |
| 072   | V000000 |    | 0      |
| 072   | W000000 |    | 126    |
| 072   | X000000 |    | 2612   |
| 072   | Y000000 |    | 0      |
| 072   | Z000000 |    | 4174   |
| 072AA | 000000  |    | 7917   |
| 072BB | 000000  |    | 4310   |
| 072CC | 010000  |    | 0      |
| 072CC | 020000  |    | 14686  |
| 072DD | 010000  |    | 3520   |
| 072DD | 020000  |    | 0      |
| 072EE | 000000  |    | 8448   |
| 073   | A010000 |    | 0.3500 |
| 073   | A020000 |    | 0.0000 |
| 073   | B000000 |    | 0.8400 |
| 073   | C000000 |    | 0.0000 |
| 074   | A000000 |    | 0      |
| 074   | B000000 |    | 0      |
| 074   | C000000 |    | 5378   |
| 074   | D000000 |    | 6370   |
| 074   | E000000 |    | 5891   |
| 074   | F000000 |    | 41623  |
| 074   | G000000 |    | 0      |
| 074   | H000000 |    | 0      |
| 074   | I000000 |    | 91574  |
| 074   | J000000 |    | 1270   |
| 074   | K000000 |    | 0      |

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|     |         |                       |
|-----|---------|-----------------------|
| 074 | L000000 | 583                   |
| 074 | M000000 | 37                    |
| 074 | N000000 | 152726                |
| 074 | O000000 | 903                   |
| 074 | P000000 | 136                   |
| 074 | Q000000 | 0                     |
| 074 | R010000 | 0                     |
| 074 | R020000 | 0                     |
| 074 | R030000 | 0                     |
| 074 | R040000 | 261                   |
| 074 | S000000 | 0                     |
| 074 | T000000 | 151426                |
| 074 | U010000 | 10021                 |
| 074 | U020000 | 0                     |
| 074 | V010000 | 15.11                 |
| 074 | V020000 | 0.00                  |
| 074 | W000000 | 0.0000                |
| 074 | X000000 | 3333                  |
| 074 | Y000000 | 0                     |
| 075 | A000000 | 0                     |
| 075 | B000000 | 173814                |
| 076 | 000000  | 13.20                 |
| 077 | A000000 | Y                     |
| 077 | B000000 | Y                     |
| 077 | C000000 | Y                     |
| 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 | N                     |
| 077 | Q030000 | N                     |
| 078 | 000000  | N                     |
| 080 | A000000 | CNA Insurance Company |
| 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 | 261                   |
| 086 | A020000 | 4017                  |
| 086 | B010000 | 405                   |
| 086 | B020000 | 5922                  |
| 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  
088 A000000 Y  
088 B000000 N  
088 C000000 N  
088 D000000 Y  
SIGNATURE Andrew Dakos  
TITLE President