

Edgar Filing: GUGGENHEIM STRATEGIC OPPORTUNITIES FUND - Form N-PX

GUGGENHEIM STRATEGIC OPPORTUNITIES FUND

Form N-PX

August 07, 2018

UNITED STATES  
SECURITIES AND EXCHANGE COMMISSION  
Washington, DC 20549

FORM N-PX

ANNUAL REPORT OF PROXY VOTING RECORD OF REGISTERED MANAGEMENT  
INVESTMENT COMPANY

Investment Company Act file number 811-21982  
-----

Guggenheim Strategic Opportunities Fund  
-----

(Exact name of registrant as specified in charter)

227 West Monroe Street  
-----

Chicago, IL 60606  
-----

(Address of principal executive offices) (Zip code)

Amy Lee  
-----

227 West Monroe Street  
-----

Chicago, IL 60606  
-----

(Name and address of agent for service)

Registrant's telephone number, including area code: 312-827-0100  
-----

Date of fiscal year end: May 31  
-----

Date of reporting period: July 1, 2017 - June 30, 2018  
-----

Form N-PX is to be used by a registered management investment company, other than a small business investment company registered on Form N-5 (ss.ss. 239.24 and 274.5 of this chapter), to file reports with the Commission, not later than August 31 of each year, containing the registrant's proxy voting record for the most recent twelve-month period ended June 30, pursuant to section 30 of the Investment Company Act of 1940 and rule 30b1-4 thereunder (17 CFR 270.30b1-4). The Commission may use the information provided on Form N-PX in its regulatory, disclosure review, inspection, and policymaking roles.

A registrant is required to disclose the information specified by Form N-PX, and the Commission will make this information public. A registrant is not required to respond to the collection of information contained in Form N-PX unless the Form displays a currently valid Office of Management and Budget ("OMB") control number. Please direct comments concerning the accuracy of the information collection burden estimate and any suggestions for reducing the burden to the Secretary, Securities and Exchange Commission, 450 Fifth Street, NW, Washington, DC 20549-0609. The OMB has reviewed this collection of information under the clearance requirements of 44 U.S.C. ss. 3507.

Edgar Filing: GUGGENHEIM STRATEGIC OPPORTUNITIES FUND - Form N-PX

Item 1. Proxy Voting Record.

\*\*\*\*\* FORM N-Px REPORT \*\*\*\*\*

ICA File Number: 811-21982  
 Reporting Period: 07/01/2017 - 06/30/2018  
 GUGGENHEIM STRATEGIC OPPORTUNITIES FUND

===== GUGGENHEIM STRATEGIC OPPORTUNITIES FUND =====

APPROACH RESOURCES INC.

Ticker: AREX Security ID: 03834A103  
 Meeting Date: JUN 06, 2018 Meeting Type: Annual  
 Record Date: APR 12, 2018

#	Proposal	Mgt Rec	Vote Cast	Sponsor
1.1	Elect Director James C. Crain	For	For	Management
1.2	Elect Director Matthew D. Wilks	For	For	Management
2	Advisory Vote to Ratify Named Executive Officers' Compensation	For	Against	Management
3	Approve Omnibus Stock Plan	For	For	Management
4	Ratify Moss Adams LLP as Auditors	For	For	Management

-----  
 SANDRIDGE ENERGY, INC.

Ticker: SD Security ID: 80007P869  
 Meeting Date: JUN 19, 2018 Meeting Type: Proxy Contest  
 Record Date: APR 20, 2018

#	Proposal	Mgt Rec	Vote Cast	Sponsor
	Management Universal Proxy (White Proxy Card)	None		
1a	Elect Director Sylvia K. Barnes	For	For	Management
1b	Elect Director Kenneth H. Beer	For	For	Management
1c	Elect Director Michael L. Bennett	For	For	Management
1d	Elect Director William (Bill) M. Griffin, Jr.	For	For	Management
1e	Elect Director David J. Kornder	For	Withhold	Management
1f	Elect Director Bob G. Alexander	None	For	Shareholder
1g	Elect Director Jonathan Christodoro	Withhold	Withhold	Shareholder
1h	Elect Director Nancy Dunlap	None	Withhold	Shareholder
1i	Elect Director Jonathan Frates	Withhold	Withhold	Shareholder
1j	Elect Director Nicholas Graziano	Withhold	Withhold	Shareholder
1k	Elect Director John "Jack" Lipinski	None	For	Shareholder
1l	Elect Director Randolph C. Read	None	For	Shareholder
2	Amend Shareholder Rights Plan (Poison Pill)	For	Against	Management
3	Ratify PricewaterhouseCoopers LLP as	For	For	Management

Edgar Filing: GUGGENHEIM STRATEGIC OPPORTUNITIES FUND - Form N-PX

	Auditors			
4	Advisory Vote to Ratify Named Executive Officers' Compensation	For	Against	Management
#	Proposal	Diss Rec	Vote Cast	Sponsor
	Dissident Proxy (Gold Proxy Card)	None		
1.1	Elect Director Jonathan Frates	For	Did Not Vote	Shareholder
1.2	Elect Director Nicholas Graziano	For	Did Not Vote	Shareholder
1.3	Elect Director John "Jack" Lipinski	For	Did Not Vote	Shareholder
1.4	Elect Director Bob G. Alexander	For	Did Not Vote	Shareholder
1.5	Elect Director Randolph C. Read	For	Did Not Vote	Shareholder
1.6	Elect Director Jonathan Christodoro	For	Did Not Vote	Shareholder
1.7	Elect Director Nancy Dunlap	For	Did Not Vote	Shareholder
2	Amend Shareholder Rights Plan (Poison Pill)	Against	Did Not Vote	Management
3	Ratify PricewaterhouseCoopers LLP as Auditors	For	Did Not Vote	Management
4	Advisory Vote to Ratify Named Executive Officers' Compensation	Against	Did Not Vote	Management

===== END NPX REPORT

SIGNATURES

Pursuant to the requirements of the Investment Company Act of 1940, the registrant has duly caused this report to be signed on its behalf by the undersigned, thereunto duly authorized.

Guggenheim Strategic Opportunities Fund

-----  
 By: /s/ Brian Binder  
 -----  
 Name: Brian Binder  
 -----  
 Title: President and Chief Executive Officer  
 -----  
 Date: August 7, 2018  
 -----