

Edgar Filing: GDL FUND - Form NSAR-B

GDL FUND

Form NSAR-B

February 28, 2014

PAGE 1  
000 B000000 12/31/2013  
000 C000000 0001378701  
000 D000000 N  
000 E000000 NF  
000 F000000 Y  
000 G000000 N  
000 H000000 N  
000 I000000 6.1  
000 J000000 A  
001 A000000 THE GDL FUND  
001 B000000 811-21969  
001 C000000 9149215100  
002 A000000 ONE CORPORATE CENTER  
002 B000000 RYE  
002 C000000 NY  
002 D010000 10580  
002 D020000 1422  
003 000000 N  
004 000000 N  
005 000000 N  
006 000000 N  
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007 B000000 0  
007 C010100 1  
008 A000001 GABELLI FUNDS, LLC  
008 B000001 A  
008 C000001 801-37706  
008 D010001 RYE  
008 D020001 NY  
008 D030001 10580  
008 D040001 1422  
010 A000001 GABELLI FUNDS, LLC  
010 B000001 801-37706  
010 C010001 RYE  
010 C020001 NY  
010 C030001 10580  
010 C040001 1422  
010 A000002 BNY MELLON INVESTMENT SERVICING (US) INC.  
010 B000002 84-01761  
010 C010002 WILMINGTON  
010 C020002 DE  
010 C030002 19809  
012 A000001 AMERICAN STOCK TRANSFER & TRUST COMPANY  
012 B000001 84-00416  
012 C010001 NEW YORK  
012 C020001 NY  
012 C030001 10038  
013 A000001 ERNST & YOUNG LLP  
013 B010001 NEW YORK  
013 B020001 NY  
013 B030001 10036  
PAGE 2  
014 A000001 G.RESEARCH, INC.  
014 B000001 8-21373  
014 A000002 G.DISTRIBUTORS, LLC  
014 B000002 8-68697  
015 A000001 THE BANK OF NEW YORK MELLON  
015 B000001 C

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015 C010001 EVERETT  
015 C020001 MA  
015 C030001 02149  
015 E010001 X  
018 000000 Y  
019 A000000 Y  
019 B000000 33  
019 C000000 GABELLIGRP  
020 A000001 G.RESEARCH, INC.  
020 B000001 13-2885006  
020 C000001 252  
020 A000002 GUGGENHEIM INVESTOR SERVICES, LLC  
020 B000002 30-0003311  
020 C000002 33  
020 A000003 BNY CONVERGEX EXECUTION SOLUTIONS LLC  
020 B000003 13-3989198  
020 C000003 28  
020 A000004 RBC CAPITAL MARKETS CORP.  
020 B000004 41-1228350  
020 C000004 19  
020 A000005 WEEDEN & CO. LP  
020 B000005 13-3364318  
020 C000005 16  
020 A000006 MKM PARTNERS LLC  
020 B000006 13-4171600  
020 C000006 15  
020 A000007 NOMURA SECURITIES INTERNATIONAL, INC.  
020 B000007 13-2642206  
020 C000007 10  
020 A000008 BMO NESBITT BURNS SECURITIES LTD.  
020 B000008 10-3854261  
020 C000008 8  
020 A000009 GOLDMAN, SACHS & CO.  
020 B000009 13-5108880  
020 C000009 7  
020 A000010 BAY CREST PARTNERS LLC  
020 B000010 13-3697789  
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021 000000 426  
022 A000001 BARCLAYS CAPITAL, INC.  
022 B000001 06-1031656  
022 C000001 582303  
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022 A000002 DAIWA SECURITIES AMERICA, INC.  
022 B000002 13-5680329  
PAGE 3  
022 C000002 196919  
022 D000002 0  
022 A000003 ONYX PHARMACEUTICALS INC.  
022 B000003 94-3154463  
022 C000003 0  
022 D000003 16875  
022 A000004 D.E. MASTER BLENDEERS1753 NV  
022 B000004 98-1039121  
022 C000004 0  
022 D000004 15351  
022 A000005 EXACT TARGET, INC.  
022 B000005 20-1367351  
022 C000005 0  
022 D000005 15188  
022 A000006 MERRILL LYNCH, PIERCE, FENNER & SMITH, INC.  
022 B000006 13-5674085

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|     |         |                                   |
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| 022 | C000006 | 0                                 |
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| 022 | A000007 | CONCEPTUS, INC.                   |
| 022 | B000007 | 97-3170244                        |
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| 022 | A000008 | GUGGENHEIM INVESTOR SERVICES, LLC |
| 022 | B000008 | 30-0003311                        |
| 022 | C000008 | 7712                              |
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| 022 | A000009 | MAP PHARMACEUTICALS, INC.         |
| 022 | B000009 | 20-0507047                        |
| 022 | C000009 | 0                                 |
| 022 | D000009 | 7363                              |
| 022 | A000010 | VOLTERRA SEMICONDUCTOR CORP.      |
| 022 | B000010 | 94-3251865                        |
| 022 | C000010 | 0                                 |
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| 054 | G000000 | N     |
| 054 | H000000 | N     |
| 054 | I000000 | N     |
| 054 | J000000 | Y     |
| 054 | K000000 | N     |

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054 L000000 N  
054 M000000 Y  
054 N000000 N  
054 O000000 N  
055 A000000 N  
055 B000000 N  
056 000000 Y  
057 000000 N  
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059 000000 Y  
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062 B000000 0.0  
PAGE 6  
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069 000000 N  
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070 E020000 N  
070 F010000 Y  
070 F020000 N  
070 G010000 Y  
070 G020000 N  
070 H010000 Y  
070 H020000 N  
070 I010000 Y

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070 I020000 N  
 070 J010000 Y  
 070 J020000 Y  
 070 K010000 Y  
 070 K020000 N  
     PAGE 7  
 070 L010000 Y  
 070 L020000 Y  
 070 M010000 Y  
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 072 G000000 0  
 072 H000000 119  
 072 I000000 26  
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 072 L000000 104  
 072 M000000 151  
 072 N000000 0  
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 072 Q000000 45  
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 073 A010000 0.0000  
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 073 C000000 1.0000

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| 074 | J000000 | 250   |
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| 074 | L000000 | 305   |
| 074 | M000000 | 743   |
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| 074 | P000000 | 6443  |
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| 076 | 000000  | 11.02                                       |
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| 077 | G000000 | N   |
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| 077 | L000000 | N   |
| 077 | M000000 | N   |
| 077 | N000000 | N   |
|     | PAGE    | 9   |
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| 077 | P000000 | N   |
| 077 | Q010000 | N   |
| 077 | Q020000 | N   |
| 077 | Q030000 | N   |
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| 080 | A000000 | TRAVELERS-ST.PAUL FIRE AND MARINE INSURANCE |
| 080 | B000000 | GREAT AMERICAN INSURANCE COMPANY            |
| 080 | C000000 | 28675                                       |
| 081 | A000000 | Y   |
| 081 | B000000 | 42  |
| 082 | A000000 | N   |
| 082 | B000000 | 0   |
| 083 | A000000 | N   |

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|           |                     |                                      |
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| 083       | B000000             | 0                                    |
| 084       | A000000             | N                                    |
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| 086       | D020000             | 0                                    |
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| 087       | A010000             | COMMON STOCK                         |
| 087       | A020000             | 361570104                            |
| 087       | A030000             | GDL                                  |
| 087       | B010000             | SERIES B CUMULATIVE PREFERRED SHARES |
| 087       | B020000             | 361570302                            |
| 087       | B030000             | GDL PR B                             |
| 088       | A000000             | N                                    |
| 088       | B000000             | N                                    |
| 088       | C000000             | N                                    |
| 088       | D000000             | Y                                    |
| SIGNATURE | SCOTT R. FUCHS      |                                      |
| TITLE     | ASSISTANT TREASURER |                                      |