

Edgar Filing: FIRST FINANCIAL FUND INC - Form 144/A

FIRST FINANCIAL FUND INC  
Form 144/A  
December 08, 2006

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SEC USE ONLY  
DOCUMENT SEQUENCE NO.  
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UNITED STATES  
SECURITIES AND EXCHANGE COMMISSION  
Washington, D.C. 20549

FORM 144  
Amendment No. 1

NOTICE OF PROPOSED SALE OF SECURITIES  
PURSUANT TO RULE 144 UNDER THE SECURITIES ACT OF 1933

ATTENTION: Transmit for filing 3 copies of this form concurrently with either placing an order with a broker to execute sale or executing a sale directly with a market maker.

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1(a) NAME OF ISSUER (Please type or print)

FIRST FINANCIAL FUND, INC.  
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(b) IRS IDENT. NO.

13-3341573  
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(c) S.E.C. FILE NO.  
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1(d) ADDRESS OF ISSUER

2344 Spruce Street, Suite A, Boulder, CO 80302  
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(e) TELEPHONE NO.

303-444-5483  
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2(a) NAME OF PERSON FOR WHOSE ACCOUNT SECURITIES ARE TO BE SOLD

MILDRED B. HOREJSI TRUST  
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(b) IRS IDENT. NO.

13-6196158

(c) RELATIONSHIP TO ISSUER

10% STOCKHOLDER

(d) ADDRESS

3301 C Street, Anchorage, AK 99503

INSTRUCTION: The person filing this notice should contact the issuer to obtain the I.R.S. Identification Number and the S.E.C. File Number.

3(a) Title of the Class of Securities to be Sold	(b) Name and Address of Each Broker Through Whom the Securities are to be Offered or Each Market Maker who is Acquiring the Securities	SEC USE ONLY Broker- Dealer File Number	(c) Number of Shares or Other Units to be Sold (See instr. 3(c))	(d) Aggregate Market Value (See instr. 3(d))	(e) Number of Shares or Other Units Outstanding (See instr. 3(e))	(f) Ap Da (S (M
Common stock	E*Trade Securities LLC 671 N. Glebe Road, 11th Floor Arlington, VA 22203		14,690		28,061,897	1

INSTRUCTIONS:

1. (a) Name of issuer  
 (b) Issuer's I.R.S. Identification Number  
 (c) Issuer's S.E.C. file number, if any  
 (d) Issuer's address, including zip code  
 (e) Issuer's telephone number, including area code
2. (a) Name of person for whose account the securities are to be sold  
 (b) Such person's I.R.S. identification number, if such person is an entity  
 (c) Such person's relationship to the issuer (e.g., officer, director, 10% stockholder, or member of immediate family of any of the foregoing)  
 (d) Such person's address, including zip code
3. (a) Title of the class of securities to be sold  
 (b) Name and address of each broker through whom the securities are intended to be sold

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- (c) Number of shares or other units to be sold (if debt securities, give the aggregate face amount)
- (d) Aggregate market value of the securities to be sold as of a specified date within 10 days prior to the filing of this notice
- (e) Number of shares or other units of the class outstanding, or if debt securities the face amount thereof outstanding, as shown by the most recent report or statement published by the issuer
- (f) Approximate date on which the securities are to be sold
- (g) Name of each securities exchange, if any, on which the securities are intended to be sold

Potential persons who are to respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB control number.

TABLE I - SECURITIES TO BE SOLD

Furnish the following information with respect to the acquisition of the securities to be sold and with respect to the payment of all or any part of the purchase price or other consideration therefor:

Title of the Class	Date You Acquired	Nature of Acquisition Transaction	Name of Person from Whom Acquired (If gift, also give date donor acquired)	Amount of Securities Acquired
Common Stock	12/30/05	Dividend paid in stock	Dividend paid in stock	14,690 Footnote 1
Total				14,690

**INSTRUCTIONS:**

1. If the securities were purchased and full payment therefor was not made in cash at the time of purchase, explain in the table or in a note thereto the nature of the consideration given. If the consideration consisted of any note or other obligation, or if payment was made in installments describe the arrangement and state when the note or other obligation was discharged in full or the last installment paid.
2. If within two years after the acquisition of the securities the person for whose account they are to be sold had any short positions, put or other option to dispose of securities referred to in paragraph (d)(3) of Rule 144, furnish full information with respect thereto.

TABLE II - SECURITIES SOLD DURING THE PAST 3 MONTHS

Furnish the following information as to all securities of the issuer sold during the past 3 months by the person for whose account the securities are to be sold.

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Name and Address of Seller	Title of Securities Sold	Date of Sale	Amount of Securities	Gr
Mildred B. Horejsi Trust 3301 C Street Anchorage, Alaska 99503	See Exhibit to this Table II			

Exhibit to Table II - Securities Sold during Prior 3 Months

Mildred B. Horejsi Trust - Notice of Proposed Sale of First Financial Fund, Inc.

Title of Securities Sold	Date of Sale	Amount of Securities Sold	Gross Proceeds
Common Stock	9/11/2006	167	2,837.27
Common Stock	9/13/2006	2,430	41,410.24
Common Stock	9/14/2006	1,500	25,564.22
Common Stock	9/15/2006	900	15,361.53
Common Stock	9/15/2006	200	3,419.90
Common Stock	9/15/2006	1,300	22,258.32
Common Stock	9/18/2006	5,000	85,637.38
Common Stock	9/18/2006	575	9,833.70
Common Stock	9/19/2006	9,938	170,113.34
Common Stock	9/20/2006	1,545	26,455.04
Common Stock	9/20/2006	2,755	47,099.06
Common Stock	9/20/2006	2,200	37,696.85
Common Stock	9/21/2006	5,300	90,577.60
Common Stock	9/21/2006	500	8,544.74
Common Stock	9/21/2006	2,816	48,198.44
Common Stock	9/22/2006	2,700	46,042.70
Common Stock	9/22/2006	22	376.19
Common Stock	9/22/2006	978	16,683.95
Common Stock	9/25/2006	3,000	51,138.43
Common Stock	9/25/2006	2,000	34,179.14
Common Stock	9/25/2006	1,600	27,365.16
Common Stock	9/26/2006	3,200	54,740.32
Common Stock	9/26/2006	2,827	48,330.22
Common Stock	9/26/2006	2,184	37,378.94
Common Stock	9/27/2006	6,200	107,237.26
Common Stock	9/27/2006	1,400	24,171.26
Common Stock	9/27/2006	1,000	17,259.95
Common Stock	9/27/2006	1,513	26,148.97
Common Stock	9/28/2006	3,438	59,431.20
Common Stock	9/29/2006	6,900	118,973.68
Common Stock	9/29/2006	1,500	25,850.11
Common Stock	9/29/2006	1,000	17,259.47
Common Stock	9/29/2006	380	6,560.00
Common Stock	10/2/2006	3,500	60,423.15
Common Stock	10/2/2006	1,200	20,689.73
Common Stock	10/2/2006	1,500	25,924.21
Common Stock	10/3/2006	1,000	17,249.48
Common Stock	10/3/2006	3,000	51,738.42

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Common Stock	10/3/2006	1,000	17,190.20
Common Stock	10/4/2006	3,589	62,041.91
Common Stock	10/4/2006	1,000	17,250.73
Common Stock	10/4/2006	700	12,065.59
Common Stock	10/4/2006	2,500	43,088.68
Common Stock	10/5/2006	5,300	91,624.19
Common Stock	10/5/2006	280	4,842.26
Common Stock	10/6/2006	4,720	81,785.09
Common Stock	10/6/2006	1,200	20,809.37
Common Stock	10/6/2006	5,127	88,991.99
Common Stock	10/6/2006	5,627	97,784.26
Common Stock	10/6/2006	146	2,541.78
Common Stock	10/10/2006	3,006	53,194.57
Common Stock	10/10/2006	953	16,790.88
Common Stock	10/11/2006	11,994	212,267.29
Common Stock	10/11/2006	1,500	26,509.19
Common Stock	10/11/2006	1,000	17,749.46
Common Stock	10/12/2006	6,014	105,823.15
Common Stock	10/12/2006	4,000	70,067.85
Common Stock	10/12/2006	4,000	70,159.19
Common Stock	10/12/2006	4,486	78,751.75
Common Stock	10/26/2006	5,100	92,073.20
Common Stock	10/26/2006	4,000	71,987.79
Common Stock	10/26/2006	2,000	36,088.90
Common Stock	10/26/2006	1,100	19,877.46
Common Stock	10/26/2006	1,400	25,287.25
Common Stock	10/26/2006	3,200	57,354.96
Common Stock	10/26/2006	3,000	53,688.36
Common Stock	10/27/2006	7,000	124,926.17
Common Stock	10/30/2006	4,000	71,387.81
Common Stock	10/31/2006	7,700	136,660.81
Common Stock	10/31/2006	100	1,775.94
Common Stock	12/5/2006	5,000	86,737.84
Common Stock	12/5/2006	5,000	86,837.34
Common Stock	12/6/2006	5,000	78,587.59
Common Stock	12/6/2006	5,000	78,687.59
Common Stock	12/6/2006	5,000	78,787.59
Common Stock	12/6/2006	9,700	153,041.31
Common Stock	12/6/2006	300	4,726.86
Common Stock	12/6/2006	5,000	78,837.58
Common Stock	12/7/2006	5,000	78,587.59
Common Stock	12/7/2006	10,000	157,475.18
Common Stock	12/7/2006	5,000	78,887.58
Common Stock	12/7/2006	5,000	78,987.58
Common Stock	12/7/2006	5,000	79,037.58
	TOTAL	265,910	4,531,816.81

REMARKS:

INSTRUCTIONS:

See the definition of "person" in paragraph (a) of Rule 144. Information is to be given not only as to the person for whose account the securities are to be sold but also as to all other persons included in that definition. In addition, information shall be given as to sales by all persons whose sales are required by

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paragraph (e) of Rule 144 to be aggregated with sales for the account of the person filing this notice.

ATTENTION:

The person for whose account the securities to which this notice relates are to be sold hereby represents by signing this notice that he does not know any material adverse information in regard to the current and prospective operations of the Issuer of the securities to be sold which has not been publicly disclosed.

12/8/2006

Mildred B. Horejsi Trust  
/s/ Stephanie Kelley

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Date of Notice

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Stephanie Kelley, Secretary,  
Badlands Trust Company, LLC, trustee

The notice shall be signed by the person for whose account the securities are to be sold. At least one copy of the notice shall be manually signed.

Any copies not manually signed shall bear typed or printed signatures.

ATTENTION: Intentional misstatements or omission of facts constitute Federal Criminal Violations (See 18 U.S.C. 1001).