# Edgar Filing: ROYCE FOCUS TRUST INC - Form 144

# ROYCE FOCUS TRUST INC

Form 144

December 14, 2006											MD	A DDD OX / A I
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SECURITIES AND EXCHANGE COMMISSION Washington, D.C. 20549									bu res	Estimated average burden hours per response 4 SEC USE ONLY DOCUMENT		
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Transmi ATTE <b>NīTIO</b> N: maker.	t for filing i ith a broker											
(a) NAME OF ISSUI	ER (Please	type or prii		S IDEN	NT. N	IO.	(c) S.E.C.	FILE NO	·	W	ORK	LOCATION
Royce Focus Trust, Inc			59-	287658	80		333-34	325				
1 (d) ADER OF ISSUE		STREET				CIT	Ϋ́	STATE	ZIP CODI			HONE NO.
1000		enue of the	Americ	eas	N	lew`	York	NY	10019	AR CC	REA DDE	NUMBER
NAME OF PERSON FOR WHOSE ACCOUNT TH SECURITIES ARE TO BE SOLD	(b)	IRS IDENT. NO.	(c)	RELA TO ISSU		NSH	(d)	DDRESS S	TRE€		00 STA	221-4268 TIZIP CODI
Charles M. Roy	N/A yce			Director and Office			4 Aven ericas	ue of the		ew ork	NY	10019

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.

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	3 (a)		Nan(b)and Address of	SEC USE ONLY		(c)		(d)		(e)		(f)		(g)
	Title of the Class of Securities To Be		Each Broker Through Whom the Securities are to be Offered or Each Market Maker who is Acquiring the	Broker-Dealer File Number		Number of Shares or Other Units To Be Sold (See instr.		Aggregate Market Value (See instr.		Number of Shares or Other Units Outstanding (See instr.		Approximate Date of Sale (See instr. 3(f)) (MO. DAY		Name of Each Securities Exchange (See instr
	Sold		Securities			<i>3(c))</i>		3(d)		<i>3(e))</i>		YR.)		3(g))
	Common	Sac One You 41s Nev	ldman hs & Co. e New rk Plaza, t Floor w York, 10004		15,	000	(bas 12/1	,250 sed on 12/06 ket close)	of 6	929,414 (as 6/30/06 ni-annual ort)	12/	14/06	Nas	sdaqNM
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# **INSTRUCTIONS:**

- (a) Name of issuer
- 1.
  - (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
- (a) Name of person for whose2. account the securities are to be sold
  - (b) Such person's I.R.S. identification number, if such person is an entity

- 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
  - (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

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- (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

Potential persons who are to respond to the collection of information contained in this

required to respond unless the form displays a currently valid OMB control number.

SEC 1147 (01-04)

#### 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*	Date of Payment	Nature of Payment
Common	12/18/01	Gift	Charles M. Royce (11/4/96)	15,000	12/18/01	N/A

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.

**REMARKS:** 

\* Shares held by a charitable foundation established by Mr. Royce and members of his family. Neither Mr. Royce nor any family member has 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.

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a pecuniary interest in shares held by the charitable foundation.

## 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.

Name and Address of Seller	Title of Securities Sold	Date of Sale	Amount of Securities Sold	Gross Proceeds
None	None	None	None	None

## **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 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.

12/14/06	/s/ Charles M. Royce
DATE OF NOTICE	(SIGNATURE)

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)

SEC 1147 (01-04)