

CATHAY GENERAL BANCORP
Form 4
November 18, 2013

FORM 4 UNITED STATES SECURITIES AND EXCHANGE COMMISSION
Washington, D.C. 20549

OMB APPROVAL

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Check this box if no longer subject to Section 16. Form 4 or Form 5 obligations may continue. See Instruction 1(b).

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF SECURITIES

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934, Section 17(a) of the Public Utility Holding Company Act of 1935 or Section 30(h) of the Investment Company Act of 1940

(Print or Type Responses)

1. Name and Address of Reporting Person *
CHENG DUNSON K

2. Issuer Name and Ticker or Trading Symbol
CATHAY GENERAL BANCORP
[CATY]

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

(Last) (First) (Middle)

3. Date of Earliest Transaction (Month/Day/Year)
11/14/2013

Director 10% Owner
 Officer (give title below) Other (specify below)
Chairman, President, & CEO

777 NORTH BROADWAY

(Street)

4. If Amendment, Date Original Filed(Month/Day/Year)

6. Individual or Joint/Group Filing(Check Applicable Line)
 Form filed by One Reporting Person
 Form filed by More than One Reporting Person

LOS ANGELES, CA 90012

(City) (State) (Zip)

Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned

| 1. Title of Security (Instr. 3) | 2. Transaction Date (Month/Day/Year) | 2A. Deemed Execution Date, if any (Month/Day/Year) | 3. Transaction Code (Instr. 8) | 4. Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5) | 5. Amount of Securities Beneficially Owned Following Reported Transaction(s) (Instr. 3 and 4) | 6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4) | 7. Nature of Indirect Beneficial Ownership (Instr. 4) |
|---------------------------------|--------------------------------------|--|--------------------------------|---|---|--|---|
| | | | Code | V | Amount (A) or (D) Price | | |
| Common Stock | 11/14/2013 | | M | | 11,000 A \$ 24.8 | 118,957 | D |
| Common Stock | 11/14/2013 | | S | | 11,000 D \$ 25.3167 | 107,957 | D |
| Common Stock | 11/15/2013 | | M | | 8,000 A \$ 24.8 | 115,957 | D |
| Common Stock | 11/15/2013 | | S | | 8,000 D \$ 25.3142 | 107,957 | D |
| Common Stock | | | | | | 102,485 | I By ESOP |

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| | | | |
|--------------|---------|---|-------------------------|
| Common Stock | 445,577 | I | Husband & Wife Trust |
| Common Stock | 182,452 | I | Nonmarital Shares Trust |

Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly.

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SEC 1474
(9-02)

Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned
(e.g., puts, calls, warrants, options, convertible securities)

| 1. Title of Derivative Security (Instr. 3) | 2. Conversion or Exercise Price of Derivative Security | 3. Transaction Date (Month/Day/Year) | 3A. Deemed Execution Date, if any (Month/Day/Year) | 4. Transaction Code (Instr. 8) | 5. Number of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5) | 6. Date Exercisable and Expiration Date (Month/Day/Year) | 7. Title and Amount of Underlying Securities (Instr. 3 and 4) |
|--|--|--------------------------------------|--|--------------------------------|---|--|---|
| | | | | Code | V (A) (D) | Date Exercisable Expiration Date | Title Amount Number Shares |
| Stock Option | \$ 24.8 | 11/14/2013 | | M | 11,000 | 11/20/2004 ⁽¹⁾ 11/20/2013 | Common Stock 11,000 |
| Stock Option | \$ 24.8 | 11/15/2013 | | M | 8,000 | 11/20/2004 ⁽¹⁾ 11/20/2013 | Common Stock 8,000 |
| Stock Option | \$ 37 | | | | | 02/17/2006 ⁽¹⁾ 02/17/2015 | Common Stock 154,000 |
| Stock Option | \$ 32.47 | | | | | 03/22/2005 ⁽¹⁾ 03/22/2015 | Common Stock 245,000 |
| Stock Option | \$ 33.54 | | | | | 11/20/2005 ⁽¹⁾ 05/12/2015 | Common Stock 264,000 |
| Stock Option | \$ 36.24 | | | | | 01/25/2007 ⁽¹⁾ 01/25/2016 | Common Stock 154,000 |
| Stock Option | \$ 23.37 | | | | | 02/21/2009 ⁽¹⁾ 02/21/2018 | Common Stock 154,000 |
| Stock Option | \$ 23.37 | | | | | 02/21/2009 ⁽¹⁾ 02/21/2018 | Common Stock 100,000 |
| Restricted Stock Units | (2) | | | | | (3) (3) | Common Stock 21,900 |
| | (2) | | | | | (4) (4) | 11,800 |

Restricted
Stock
Units

Common
Stock

Restricted
Stock
Units

(2)

(5)

(5)

Common
Stock

30,4

Reporting Owners

| Reporting Owner Name / Address | Relationships | | | |
|---|---------------|-----------|----------------------------|-------|
| | Director | 10% Owner | Officer | Other |
| CHENG DUNSON K 777 NORTH BROADWAY LOS ANGELES, CA 90012 | X | | Chairman, President, & CEO | |

Signatures

Monica Chen,
attorney-in-fact

11/18/2013

**Signature of Reporting Person

Date

Explanation of Responses:

* If the form is filed by more than one reporting person, *see* Instruction 4(b)(v).

** Intentional misstatements or omissions of facts constitute Federal Criminal Violations. *See* 18 U.S.C. 1001 and 15 U.S.C. 78ff(a).

(1) The option is fully exercisable.

(2) Consists of long term restricted stock units within the meaning of the Emergency Economic Stabilization Act of 2008, as amended from time to time, and the rules and regulations promulgated thereunder ("EESA"). Each unit represents a contingent right to receive one share of CATY Common Stock.

(3) These restricted stock units are scheduled to vest in a single installment on December 15, 2013, or earlier in the event of death or disability, and are subject to certain transfer restrictions under EESA.

(4) These restricted stock units are scheduled to vest in a single installment on May 8, 2014, or earlier in the event of death or disability, and are subject to certain transfer restrictions under EESA.

(5) These restricted stock units are scheduled to vest in a single installment on December 20, 2014, or earlier in the event of death or disability, and are subject to certain transfer restrictions under EESA.

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, *see* Instruction 6 for procedure.

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