

CATHAY GENERAL BANCORP

Form 4

December 04, 2006

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

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

OMB APPROVAL

OMB
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(Print or Type Responses)

1. Name and Address of Reporting Person *
TANG ANTHONY M

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)

777 NORTH BROADWAY

(Street)

LOS ANGELES, CA 90012

3. Date of Earliest Transaction
(Month/Day/Year)
11/30/2006

☐ Director ☐ 10% Owner
☒ Officer (give title below) ☐ Other (specify below)
EVP

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

(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 Ownership Indirect Beneficial Ownership (Instr. 4)	
			Code	V	Amount	(A) or (D)	Price	
Common Stock	11/30/2006		M		10,000	A	\$ 10.625	360,584 D
Common Stock	11/30/2006		S		10,000	D	\$ 34.3242	350,584 D
Common Stock	12/04/2006		M		13,000	A	\$ 10.625	363,584 D
Common Stock	12/04/2006		S		13,000	D	\$ 34.7014	350,584 D
Common Stock								82,441 I By ESOP

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Common Stock	247,819.74 <u>(1)</u>	I	By spouse
Common Stock	80,322	I	As custodian for children

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	\$ 10.625	11/30/2006		M	10,000	01/20/2001 ⁽²⁾	01/20/2010	Common Stock	13,000
Stock Option	\$ 10.625	12/04/2006		M	13,000	01/20/2001 ⁽²⁾	01/20/2010	Common Stock	0
Stock Option	\$ 15.0475					01/18/2002 ⁽²⁾	01/18/2011	Common Stock	26,360
Stock Option	\$ 16.275					02/21/2003 ⁽³⁾	02/21/2012	Common Stock	26,000
Stock Option	\$ 19.925					01/16/2004 ⁽⁴⁾	01/16/2013	Common Stock	47,500
Stock Option	\$ 24.8					11/20/2004 ⁽⁵⁾	11/20/2013	Common Stock	105,140
Stock Option	\$ 37					02/17/2006 ⁽⁶⁾	02/17/2015	Common Stock	39,820
Stock Option	\$ 36.24					01/25/2007 ⁽⁷⁾	01/25/2016	Common Stock	42,690

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
TANG ANTHONY M 777 NORTH BROADWAY LOS ANGELES, CA 90012	X		EVP	

Signatures

Anthony M.
Tang

12/04/2006

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) Includes 2,545.17 shares acquired through dividend reinvestment year-to-date.
- (2) The option is fully exercisable.
- (3) The option vests in 5 equal annual installments beginning 2/21/03.
- (4) The option vests in 5 equal annual installments beginning 1/16/04.
- (5) The option vests in 5 equal annual installments beginning 11/20/04.
- (6) The option vests in 5 equal annual installments beginning 2/17/06.
- (7) The option vests in 5 equal annual installments beginning 1/25/07.

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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