

CATHAY GENERAL BANCORP

Form 4

November 27, 2013

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 *
CHENG DUNSON K

(Last) (First) (Middle)

777 NORTH BROADWAY

(Street)

LOS ANGELES, CA 90012

(City) (State) (Zip)

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

3. Date of Earliest Transaction
(Month/Day/Year)
11/26/2013

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

5. Relationship of Reporting Person(s) to
Issuer

(Check all applicable)

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

Chairman, President, & CEO

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

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)
Common Stock	11/26/2013		S	10,000	D		
				(A) or (D)	Price		
					\$		
					(1)		
Common Stock	11/27/2013		S	10,000	D		
				(A) or (D)	Price		
					\$		
					(2)		
Common Stock					102,485	I	By ESOP
Common Stock					445,577	I	Husband & Wife Trust
					182,452	I	

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Common
Stock

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 or Number of Shares
Stock Option	\$ 37					02/17/2006 ⁽³⁾ 02/17/2015	Common Stock 154,940
Stock Option	\$ 32.47					03/22/2005 ⁽³⁾ 03/22/2015	Common Stock 245,060
Stock Option	\$ 33.54					11/20/2005 ⁽³⁾ 05/12/2015	Common Stock 264,694
Stock Option	\$ 36.24					01/25/2007 ⁽³⁾ 01/25/2016	Common Stock 154,940
Stock Option	\$ 23.37					02/21/2009 ⁽³⁾ 02/21/2018	Common Stock 154,970
Stock Option	\$ 23.37					02/21/2009 ⁽³⁾ 02/21/2018	Common Stock 100,000
Restricted Stock Units	⁽⁴⁾					⁽⁵⁾ ⁽⁵⁾	Common Stock 21,913
Restricted Stock Units	⁽⁴⁾					⁽⁶⁾ ⁽⁶⁾	Common Stock 11,862
Restricted Stock Units	⁽⁴⁾					⁽⁷⁾ ⁽⁷⁾	Common Stock 30,481

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

11/27/2013

__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).

Represents the weighted average sales price per share. The shares were sold at prices ranging from \$26.75 to \$26.85 per shares. Full
(1) information regarding the number of shares sold at each separate price will be provided, upon request, to the staff of the U.S. Securities and Exchange Commission, the Issuer, or any security holder of the Issuer.

Represents the weighted average sales price per share. The shares were sold at prices ranging from \$27.4310 to \$27.50 per shares. Full
(2) information regarding the number of shares sold at each separate price will be provided, upon request, to the staff of the U.S. Securities and Exchange Commission, the Issuer, or any security holder of the Issuer.

(3) The option is fully exercisable.

Consists of long term restricted stock units within the meaning of the Emergency Economic Stabilization Act of 2008, as amended from
(4) 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.

(5) 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.

(6) 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.

(7) 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.

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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