

TANG ANTHONY M
Form 5
February 13, 2019

FORM 5

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).
Form 3 Holdings
Reported
Form 4
Transactions
Reported

**ANNUAL 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
Number: 3235-0362
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1. Name and Address of Reporting Person *
TANG ANTHONY M

(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. Statement of Issuer's Fiscal Year Ended
(Month/Day/Year)
12/31/2018

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)
Vice Chairman

6. Individual or Joint/Group Reporting

(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 at end of Issuer's Fiscal Year (Instr. 3 and 4)	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership (Instr. 4)
				Amount	(A) or (D)	Price		
Common Stock	03/12/2018	Â	J ⁽²⁾	1,576.098	A	\$ 43.52	293,078.47 I	By spouse
Common Stock	06/11/2018	Â	J ⁽²⁾	1,594.867	A	\$ 43.245	293,078.47 I	By spouse
Common Stock	09/14/2018	Â	J ⁽²⁾	1,637.224	A	\$ 42.36	293,078.47 I	By spouse
Common Stock	12/13/2018	Â	J ⁽²⁾	2,471.218	A	\$ 36.455	293,078.47 I	By spouse

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Common Stock	03/15/2018	Â	J ⁽¹⁾	544.526	A	\$ 544.526	99,121.91	I	By ESOP
Common Stock	06/13/2018	Â	J ⁽¹⁾	546.653	A	\$ 42.5213	99,121.91	I	By ESOP
Common Stock	09/19/2018	Â	J ⁽¹⁾	558.529	A	\$ 42.1077	99,121.91	I	By ESOP
Common Stock	12/14/2018	Â	J ⁽¹⁾	856.679	A	\$ 35.543	99,121.91	I	By ESOP
Common Stock	Â	Â	Â	Â	Â	Â	300,000	I	YFO Investments, spouse is a beneficiary
Common Stock	Â	Â	Â	Â	Â	Â	268,006	D	Â

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

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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)	8. Price of Derivative Security (Instr. 5)	9. of Derivative Security (Instr. 5)
					(A) (D)	Date Exercisable Expiration Date	Title Amount or Number of Shares		

Reporting Owners

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

Signatures

/s/ Georgia Lo,
attorney-in-fact

02/13/2019

__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) ESOP DR earnings allocation.

(2) Dividend Reinvestment.

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