

CHENG DUNSON K
Form 5
February 12, 2010

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
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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. Statement of Issuer's Fiscal Year Ended
(Month/Day/Year)
12/31/2009

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 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	01/21/2009	Â	J ⁽¹⁾	435.746	A \$ 18.5984	395,979.62 D	Â
Common Stock	05/14/2009	Â	J ⁽¹⁾	534.916	A \$ 11.6083	395,979.62 D	Â
Common Stock	08/20/2009	Â	J ⁽¹⁾	81.982	A \$ 9.533	395,979.62 D	Â
Common Stock	12/08/2009	Â	J ⁽¹⁾	104.306	A \$ 7.5005	395,979.62 D	Â

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Common Stock	12/31/2009	Â	J ⁽²⁾	1,619	A	\$ 11.8101	101,550	I	By ESOP
Common Stock	Â	Â	Â	Â	Â	Â	239,308	I	Husband & Wife Trust

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

Persons who respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB control number.

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(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)
					(A) (D)	Date Exercisable Expiration Date	Title Amount of Number of Shares
Stock Option	\$ 10.625	Â	Â	Â	Â Â	01/20/2001 ⁽³⁾ 01/20/2010	Common Stock 73,320
Stock Option	\$ 15.0475	Â	Â	Â	Â Â	01/18/2002 ⁽³⁾ 01/18/2011	Common Stock 74,160
Stock Option	\$ 16.275	Â	Â	Â	Â Â	02/21/2003 ⁽³⁾ 02/21/2012	Common Stock 79,320
Stock Option	\$ 19.925	Â	Â	Â	Â Â	01/16/2004 ⁽³⁾ 01/16/2013	Common Stock 153,060
Stock Option	\$ 24.8	Â	Â	Â	Â Â	11/20/2004 ⁽³⁾ 11/20/2013	Common Stock 246,940
Stock Option	\$ 37	Â	Â	Â	Â Â	02/17/2006 ⁽⁴⁾ 02/17/2015	Common Stock 154,940
Stock Option	\$ 32.47	Â	Â	Â	Â Â	03/22/2005 ⁽³⁾ 03/22/2015	Common Stock 245,060
Stock Option	\$ 33.54	Â	Â	Â	Â Â	11/20/2005 ⁽³⁾ 05/12/2015	Common Stock 264,694
Stock Option	\$ 36.24	Â	Â	Â	Â Â	01/25/2007 ⁽⁵⁾ 01/25/2016	Common Stock 154,940
Stock Option	\$ 23.37	Â	Â	Â	Â Â	02/21/2009 ⁽⁶⁾ 02/21/2018	Common Stock 154,970

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
HENG DUNSON K 7 NORTH BROADWAY LOS ANGELES, CA 90012	X		Chairman, President & CEO	

Dunson K. 02/12/2010
Cheng

Signature of _____ Date _____
Reporting Person

* 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) Dividend Reinvestment.

(2) ESOP earning allocation.

(3) The option is fully exercisable.

(4) The option vests in 5 equal annual installments beginning 2/17/06.

(5) The option vests in 5 equal annual installments beginning 1/25/07.

(6) The option vests in 5 equal annual installments beginning 2/21/09.

(7) The option vests in 2 equal annual installments beginning 2/21/09.

Reporting Owners