

CHENG DUNSON K
Form 4
November 04, 2010

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

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

(City) (State) (Zip)

3. Date of Earliest Transaction
(Month/Day/Year)
11/03/2010

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

☐ 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)
			Code	V	Amount (A) or (D)	Price	
Common Stock	11/03/2010		G		7,500	D \$ 0	388,721.68 ⁽¹⁾ D
Common Stock							101,550 I By ESOP
Common Stock							239,308 I Husband & Wife Trust

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

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information contained in this form are not
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SEC 1474
(9-02)

number.

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. L	
				Code	V	(A)	(D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares
Stock Option	\$ 15.0475							01/18/2002 ⁽²⁾	01/18/2011	Common Stock	74,160
Stock Option	\$ 16.275							02/21/2003 ⁽²⁾	02/21/2012	Common Stock	79,320
Stock Option	\$ 19.925							01/16/2004 ⁽²⁾	01/16/2013	Common Stock	153,060
Stock Option	\$ 24.8							11/20/2004 ⁽²⁾	11/20/2013	Common Stock	246,940
Stock Option	\$ 37							02/17/2006 ⁽²⁾	02/17/2015	Common Stock	154,940
Stock Option	\$ 32.47							03/22/2005 ⁽²⁾	03/22/2015	Common Stock	245,060
Stock Option	\$ 33.54							11/20/2005 ⁽²⁾	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 ⁽⁴⁾	02/21/2018	Common Stock	154,970
Stock Option	\$ 23.37							02/21/2009 ⁽⁵⁾	02/21/2018	Common Stock	100,000

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
CHENG DUNSON K 777 NORTH BROADWAY	X		Chairman, President, & CEO	

LOS ANGELES, CA 90012

Signatures

Dunson K.

11/03/2010

Cheng

__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 242.06 shares acquired through dividend reinvestment year-to-date.
- (2) The option is fully exercisable.
- (3) The option vests in 5 equal annual installments beginning 1/25/07.
- (4) The option vests in 5 equal annual installments beginning 2/21/09.
- (5) The option vests in 2 equal annual installments beginning 2/21/09

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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