

CHENG DUNSON K
Form 5
February 14, 2012

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)
12/31/2011

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	Â	Â	Â	Â	Â	Â	74,160	D	Â
Common Stock	Â	Â	Â	Â	Â	Â	628,029	I	Husband & Wife Trust
Common Stock	12/31/2011	Â	J ⁽¹⁾	289	A	\$ 13.68	102,224	I	By ESOP

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

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SEC 2270
(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 Number Shares
Stock Option	\$ 16.275	Â	Â	Â	Â Â	02/21/2003 ⁽²⁾ 02/21/2012	Common Stock 79,32
Stock Option	\$ 19.925	Â	Â	Â	Â Â	01/16/2004 ⁽²⁾ 01/16/2013	Common Stock 153,0
Stock Option	\$ 24.8	Â	Â	Â	Â Â	11/20/2004 ⁽²⁾ 11/20/2013	Common Stock 246,9
Stock Option	\$ 37	Â	Â	Â	Â Â	02/17/2006 ⁽²⁾ 02/17/2015	Common Stock 154,9
Stock Option	\$ 32.47	Â	Â	Â	Â Â	03/22/2005 ⁽²⁾ 03/22/2015	Common Stock 245,0
Stock Option	\$ 33.54	Â	Â	Â	Â Â	11/20/2005 ⁽²⁾ 05/12/2015	Common Stock 264,6
Stock Option	\$ 36.24	Â	Â	Â	Â Â	01/25/2007 ⁽²⁾ 01/25/2016	Common Stock 154,9
Stock Option	\$ 23.37	Â	Â	Â	Â Â	02/21/2009 ⁽²⁾ 02/21/2018	Common Stock 154,9
Stock Option	\$ 23.37	Â	Â	Â	Â Â	02/21/2009 ⁽³⁾ 02/21/2018	Common Stock 100,0
Restricted Stock Units	Â	Â	Â	Â	Â Â	Â ⁽⁵⁾ Â ⁽⁵⁾	Common Stock 12,38
Restricted Stock Units	Â	Â	Â	Â	Â Â	Â ⁽⁶⁾ Â ⁽⁶⁾	Common Stock 21,91

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

Dunson K. 02/14/2012
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) ESOP earning allocation.
- (2) The option is fully exercisable.
- (3) The option vests in 5 equal annual installments beginning 2/21/09.
- (4) Consists of long term restricted stock units within the meaning of the Emergency Economic Stabilization Act of 2008, as amended from 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 March 23, 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 15, 2013, 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 provided is insufficient, see Instruction 6 for procedure. Potential persons who are to respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB number.