#### Edgar Filing: CATHAY GENERAL BANCORP - Form 4

#### CATHAY GENERAL BANCORP

Form 4 January 20, 2015

## FORM 4

### UNITED STATES SECURITIES AND EXCHANGE COMMISSION Washington, D.C. 20549

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF

**OMB** Number:

3235-0287

Expires:

January 31, 2005

0.5

Estimated average burden hours per

**OMB APPROVAL** 

response...

if no longer subject to Section 16. Form 4 or Form 5

obligations

may continue.

See Instruction

Check this box

**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

1(b).

Common

Common

Common

Common

Stock

Stock

Stock

Stock

01/16/2015

(Print or Type Responses)

| 1. Name and A                        | Symbol<br>CATHA                         | 2. Issuer Name <b>and</b> Ticker or Trading Symbol CATHAY GENERAL BANCORP [CATY] |                                       |  | 5. Relationship of Reporting Person(s) to<br>Issuer  (Check all applicable)  |  |   |  |
|--------------------------------------|---|--|---------------------------------------|--|--|--|---|--|
| (Last) 777 NORTI                     | (Month/I                                | 3. Date of Earliest Transaction (Month/Day/Year) 01/16/2015                      |                                       |  | _X_ Director 10% Owner Officer (give title Other (specify below)   |  |   |  |
| LOS ANGE                             | (Street) ELES, CA 90012                 |  | endment, D<br>nth/Day/Yea             | ate Original<br>r)   | Applicable Line _X_ Form filed   | or Joint/Group F  by One Reporting  More than One        | Person  |  |
| (City)                               | (State)                                 | (Zip) Tab  | le I - Non-l                          | Derivative Securities A  |  | d of, or Benefic   | ially Owned   |  |
| 1.Title of<br>Security<br>(Instr. 3) | 2. Transaction Date<br>(Month/Day/Year) | 2A. Deemed<br>Execution Date, if<br>any<br>(Month/Day/Year)                      | 3.<br>Transacti<br>Code<br>(Instr. 8) | 4. Securities onAcquired (A) or Disposed of (D) (Instr. 3, 4 and 5)  (A) or Amount (D) Price | 5. Amount of<br>Securities<br>Beneficially<br>Owned<br>Following<br>Reported<br>Transaction(s)<br>(Instr. 3 and 4) | 6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4) | 7. Nature of<br>Indirect<br>Beneficial<br>Ownership<br>(Instr. 4) |  |

500

A

\$0

244,407

445,577

182,452

102,838

D

Ι

Ι

G

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

Husband &

Wife Trust

Nonmarital

By ESOP

**Shares Trust** 

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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<br>Derivative<br>Security<br>(Instr. 3) | 2.<br>Conversion<br>or Exercise<br>Price of<br>Derivative<br>Security | 3. Transaction Date<br>(Month/Day/Year) | 4.<br>Transactic<br>Code<br>(Instr. 8) | 5. orNumber of Derivative Securities Acquired (A) or |                     | ate                | 7. Title<br>Amour<br>Underl<br>Securit<br>(Instr.: | nt of<br>ying                | 8. Price of<br>Derivative<br>Security<br>(Instr. 5) | 9. Nu<br>Deriv<br>Secur<br>Bene<br>Owne<br>Follo<br>Repo |
|---|---|---|--|--|---------------------|--------------------|--|------------------------------|---|--|
|   |   |   |  | Disposed   |                     |                    |  |                              |   | Trans  |
|   |   |   |  | of (D) (Instr. 3,                                    |                     |                    |  |                              |   | (Instr   |
|   |   |   |  | 4, and 5)  |                     |                    |  |                              |   |  |
|   |   |   |  |  | Date<br>Exercisable | Expiration<br>Date | Title  | Amount<br>or<br>Number<br>of |   |  |
|   |   |   | Code V                                 | (A) (D)  |                     |                    |  | Shares                       |   |  |

### **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**

/s/ Monica Chen,

attorney-in-fact 01/20/2015

\*\*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).

Note: File three copies of this Form, one of which must be manually signed. If space 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.

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