

CATHAY GENERAL BANCORP
Form 4
October 16, 2013

FORM 4

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

OMB APPROVAL

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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

(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)
10/11/2013
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 Ownership (Instr. 4)
Common Stock	10/11/2013		A	636 ⁽¹⁾ A	\$ 0 51,987	D	
Common Stock					55,970	D	
Common Stock					102,485	I	By ESOP
Common Stock					445,577	I	Husband & Wife Trust
Common Stock					182,452	I	Nonmarital Shares Trust

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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)		
				Code	V (A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares
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 ⁽²⁾	01/25/2016	Common Stock	154,940
Stock Option	\$ 23.37					02/21/2009 ⁽²⁾	02/21/2018	Common Stock	154,970
Stock Option	\$ 23.37					02/21/2009 ⁽²⁾	02/21/2018	Common Stock	100,000
Restricted Stock Units	⁽³⁾					⁽⁴⁾	⁽⁴⁾	Common Stock	21,913
Restricted Stock Units	⁽³⁾					⁽⁵⁾	⁽⁵⁾	Common Stock	11,862
Restricted Stock Units	⁽³⁾					⁽⁶⁾	⁽⁶⁾	Common Stock	30,481

