

TANG ANTHONY M
Form 5
February 01, 2018

FORM 5

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

OMB APPROVAL
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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

1. Name and Address of Reporting Person *
TANG ANTHONY M

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)

3. Statement for Issuer's Fiscal Year Ended (Month/Day/Year)
12/31/2017

Director 10% Owner
 Officer (give title below) Other (specify below)
Vice Chairman

777 NORTH BROADWAY

(Street)

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

6. Individual or Joint/Group Reporting

(check applicable line)

LOS ANGELES, CA 90012

(City) (State) (Zip)

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)
				(A) or (D) Amount Price			
Common Stock	03/14/2017	Â	J ⁽¹⁾	507.171 A \$ 39.044	96,615.52	I	By ESOP
Common Stock	03/10/2017	Â	J ⁽²⁾	1,523.745 A \$ 38.52	585,799.06	I	By spouse
Common Stock	06/12/2017	Â	J ⁽²⁾	1,507.591 A \$ 39.145	585,799.06	I	By spouse
Common Stock	09/11/2017	Â	J ⁽²⁾	1,672.891 A \$ 35.4663	585,799.06	I	By spouse

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Common Stock	12/11/2017	Â	J ⁽²⁾	1,596.457	A	\$ 42.725	585,799.06	I	By spouse
Common Stock	06/15/2017	Â	J ⁽¹⁾	515.855	A	\$ 38.588	96,615.52	I	By ESOP
Common Stock	09/15/2017	Â	J ⁽¹⁾	549.048	A	\$ 36.4816	96,615.52	I	By ESOP
Common Stock	12/15/2017	Â	J ⁽¹⁾	540.239	A	\$ 42.6611	96,615.52	I	By ESOP
Common Stock	Â	Â	Â	Â	Â	Â	301,400	D	Â

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)	8. Price of Derivative Security (Instr. 5)	9. of D Se O Er Is Fi (I
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	Date Exercisable	Expiration Date	Title	Amount or Number of Shares
(A) (D)				

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
TANG ANTHONY M 777 NORTH BROADWAY LOS ANGELES, CA 90012	Â X	Â	Â Vice Chairman	Â

Signatures

/s/ Georgia Lo,
attorney-in-fact

02/01/2018

__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 DR earnings allocation.

(2) Dividend Reinvestment.

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