

CATHAY GENERAL BANCORP  
 Form 4  
 November 27, 2013

**FORM 4**

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

OMB APPROVAL

OMB Number: 3235-0287  
 Expires: January 31, 2015  
 Estimated average burden hours per response... 0.5

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

(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)

3. Date of Earliest Transaction (Month/Day/Year)  
**11/26/2013**

Director  10% Owner  
 Officer (give title below)  Other (specify below)  
**Chairman, President, & CEO**

**LOS ANGELES, CA 90012**

(City) (State) (Zip)

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

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	11/26/2013		S			10,000	D	\$ 26.8132	197,957	D	
Common Stock	11/27/2013		S			10,000	D	\$ 27.4685	187,957	D	
Common Stock									102,485	I	By ESOP
Common Stock									445,577	I	Husband & Wife Trust
									182,452	I	

Edgar Filing: CATHAY GENERAL BANCORP - Form 4

Common  
Stock

Nonmarital  
Shares  
Trust

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

**Persons who respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB control number.**

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 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	\$ 37					02/17/2006 <sup>(3)</sup>	02/17/2015	Common Stock	154,940
Stock Option	\$ 32.47					03/22/2005 <sup>(3)</sup>	03/22/2015	Common Stock	245,060
Stock Option	\$ 33.54					11/20/2005 <sup>(3)</sup>	05/12/2015	Common Stock	264,694
Stock Option	\$ 36.24					01/25/2007 <sup>(3)</sup>	01/25/2016	Common Stock	154,940
Stock Option	\$ 23.37					02/21/2009 <sup>(3)</sup>	02/21/2018	Common Stock	154,970
Stock Option	\$ 23.37					02/21/2009 <sup>(3)</sup>	02/21/2018	Common Stock	100,000
Restricted Stock Units	<sup>(4)</sup>					<sup>(5)</sup>	<sup>(5)</sup>	Common Stock	21,913
Restricted Stock Units	<sup>(4)</sup>					<sup>(6)</sup>	<sup>(6)</sup>	Common Stock	11,862
Restricted Stock Units	<sup>(4)</sup>					<sup>(7)</sup>	<sup>(7)</sup>	Common Stock	30,481

## 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

Monica Chen,  
attorney-in-fact

11/27/2013

\_\_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).

Represents the weighted average sales price per share. The shares were sold at prices ranging from \$26.75 to \$26.85 per shares. Full information regarding the number of shares sold at each separate price will be provided, upon request, to the staff of the U.S. Securities and Exchange Commission, the Issuer, or any security holder of the Issuer.

Represents the weighted average sales price per share. The shares were sold at prices ranging from \$27.4310 to \$27.50 per shares. Full information regarding the number of shares sold at each separate price will be provided, upon request, to the staff of the U.S. Securities and Exchange Commission, the Issuer, or any security holder of the Issuer.

(3) The option is fully exercisable.

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 December 15, 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 20, 2014, or earlier in the event of death or disability, and are subject to certain transfer restrictions under EESA.

(7) These restricted stock units are scheduled to vest in a single installment on May 8, 2014, 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 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.