

CATHAY GENERAL BANCORP
Form 4
November 18, 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)

3. Date of Earliest Transaction (Month/Day/Year)
11/14/2013

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

LOS ANGELES, CA 90012

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

(City) (State) (Zip)

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	11/14/2013		M	11,000 A \$ 24.8	118,957	D	
Common Stock	11/14/2013		S	11,000 D \$ 25.3167	107,957	D	
Common Stock	11/15/2013		M	8,000 A \$ 24.8	115,957	D	
Common Stock	11/15/2013		S	8,000 D \$ 25.3142	107,957	D	
Common Stock					102,485	I	By ESOP

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Common Stock	445,577	I	Husband & Wife Trust
Common Stock	182,452	I	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.

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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 Security (Instr. 3 and 4)
				Code	V (A) (D)	Date Exercisable Expiration Date	Title Amount Number Shares
Stock Option	\$ 24.8	11/14/2013		M	11,000	11/20/2004 ⁽¹⁾ 11/20/2013	Common Stock 11,000
Stock Option	\$ 24.8	11/15/2013		M	8,000	11/20/2004 ⁽¹⁾ 11/20/2013	Common Stock 8,000
Stock Option	\$ 37					02/17/2006 ⁽¹⁾ 02/17/2015	Common Stock 154,000
Stock Option	\$ 32.47					03/22/2005 ⁽¹⁾ 03/22/2015	Common Stock 245,000
Stock Option	\$ 33.54					11/20/2005 ⁽¹⁾ 05/12/2015	Common Stock 264,000
Stock Option	\$ 36.24					01/25/2007 ⁽¹⁾ 01/25/2016	Common Stock 154,000
Stock Option	\$ 23.37					02/21/2009 ⁽¹⁾ 02/21/2018	Common Stock 154,000
Stock Option	\$ 23.37					02/21/2009 ⁽¹⁾ 02/21/2018	Common Stock 100,000
Restricted Stock Units	(2)					(3) (3)	Common Stock 21,900
	(2)					(4) (4)	11,800

