

CATHAY GENERAL BANCORP  
Form 4  
December 01, 2016

**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)  
11/29/2016

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

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	11/29/2016		M		30,000 A \$ 23.37	273,907	D
Common Stock	11/29/2016		S		30,000 D \$ 35.3773	243,907	D
Common Stock	11/30/2016		M		10,000 A \$ 23.37	253,907	D
Common Stock	11/30/2016		S		10,000 D \$ 35.3242	243,907	D
Common Stock	12/01/2016		M		20,000 A \$ 23.37	263,907	D

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Common Stock	12/01/2016	S	20,000	D	\$ 35.5094	243,907	D	
Common Stock						445,577	I	Husband & Wife Trust
Common Stock						182,452	I	Nonmarital Share Trust
Common Stock						102,904	I	By ESOP

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

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(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	\$ 23.37	11/29/2016		M	30,000	02/21/2009 <sup>(1)</sup> 02/21/2018	Common Stock	30,000	
Stock Option	\$ 23.37	11/30/2016		M	10,000	02/21/2009 <sup>(1)</sup> 02/21/2018	Common Stock	10,000	
Stock Option	\$ 23.37	12/01/2016		M	20,000	02/21/2009 <sup>(1)</sup> 02/21/2018	Common Stock	20,000	

## Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
CHENG DUNSON K 777 NORTH BROADWAY LOS ANGELES, CA 90012	X		Executive Chairman	

## Signatures

/s/ Monica Chen,  
attorney-in-fact

12/01/2016

\_\_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) The option is fully exercisable.

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