Edgar Filing: TANG ANTHONY M - Form 4

January 03, 2013 FORM 4 UNITED STATES SECURITIES AND EXCHANGE COMMISSION Washington, D.C. 20549 Statement of provide the law of	TANG ANTI	HONY M										
FORM 4 UNITED STATES SECURITIES AND EXCHANCE COMMISSION Washington, D.C. 20549 OMB APPROVAL OMB: 2325-0287 Section 16. StateMent of CHANGES IN BENEFICIAL OWNERSHIP OF Section 16. STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF SECURITIES Common Section 17(a) of the Public Utility Holding Company Act of 1934, obligations may continue. Section 17(a) of the Public Utility Holding Company Act of 1935 or Section 1(b). State Section 17(a) of the Public Utility Holding Company Act of 1935 or Section 30(h) of the Investment Company Act of 1940 State Section 17(a) of the Public Utility Holding Company Act of 1940 1(b). Nume and Address of Reporting Person 1 (to). 2. Issuer Name and Ticker or Truding Symbol CATHAY GENERAL BANCORP [CATY] S. Relationship of Reporting Person(s) to Issuer 1. Name and Address of Reporting Person 2 (Month/Day/Year) 2. Issuer Name and Ticker or Truding Symbol CATHAY GENERAL BANCORP [CATY] S. Relationship of Reporting Person(s) to Issuer 1. Mare and Address of Reporting Person 2 TANG ANTHONY M 3. Bate of Earliest Transaction (Month/Day/Year) -X_Director -X_Officer (give tile body) FVP [0% Owner -X_Officer (give tile body) FVP 1. Mare and CADY (Month/Day/Year) 3. Tate J. Pon-Derivative Securities Exclusion (Month/Day/Year) 3. 4. Scurities Scuring (Month/Day/Year) 5. Anoant of Code V Anoant (D) Price 6. OwnerSpring Person FVP 1. Tile of (Instr. 3) 2. Transaction Date Scuring (Month/Day/Year) 3. 4. Scurities Scuring (Month/Day/Year) 3. 4. Scurities Scuring (Month/Day/Year)<	Form 4 January 03, 2	013										
Check this hox if no longer subject to Section 16. Form 4 or Form 4 or Form 5 Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934, obligations section 17(a) of the Public Utility Holding Company Act of 1935 or Section set instruction t(b). (Print or Type Responses) 1. Name and Address of Reporting Person 1 (Carty] (Last) (First) (Middle) 3. Jota of Earliest Transaction (Month/Day/Year) (State) (State) (Zap) (State) (Zap) (State) (Zap) (State) (Zap) (State) (Zap) (Month/Day/Year) (State) (Zap) (State) (Zap) (Month/Day/Year) (State) (Zap) (Month/Day/Year) (State) (Zap) (Month/Day/Year) (State) (Zap) (Month/Day/Year) (State) (Zap) (Month/Day/Year) (State) (Zap) (Month/Day/Year) (State) (Zap) (Month/Day/Year) (State) (Zap) (Month/Day/Year) (State) (Zap) (Month/Day/Year) (State) (Zap) (Month/Day/Year) (Month/Day/Year) (Month/Day/Year) (State) (Zap) (Month/Day/Year) (State) (Zap) (Month/Day/Year) (State) (Zap) (Month/Day/Year) (Mon		1									PPROVAL	
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Form 5 obligations may continue. See instruction Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934, obligations may continue. See instruction Section 17(a) of the Public Utility Holding Company Act of 1935 or Section 1(b). 30(h) of the Investment Company Act of 1935 or Section 1(b). (Print or Type Responses) 2. Issuer Name and Ticker or Trading Symbol 5. Relationship of Reporting Person(s) to Issuer (Last) (First) (Middle) 3. Date of Earliest Transaction (Month/Day/Year) 5. Relationship of Reporting Person(s) to Issuer 777 NORTH BROADWAY 12/31/2012	subject to Section 16	SIAIEN 5.	STATEMENT OF CHANGES IN BENEFICIAL OW							burden hou	Estimated average burden hours per	
1. Name and Address of Reporting Person 1 TANG ANTHONY M 2. Issuer Name and Ticker or Training Symbol 5. Relationship of Reporting Person(s) to Issuer (Last) (First) (Middle) 3. Date of Earliest Transaction (Month/Day/Year) 5. Relationship of Reporting Person(s) to Issuer 777 NORTH BROADWAY 12/31/2012	obligation may conti <i>See</i> Instru	nue. Section 17(a) of the l	Public Ut	ility Hold	ling Con	ipany	Act	of 1935 or Section	n		
TANG ANTHONY M Symbol Issuer (Last) (First) (Middle) 3. Date of Earliest Transaction (Month/Day/Year)	(Print or Type R	esponses)										
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XOfficer (give titleOther (specify below) 777 NORTH BROADWAY 12/31/2012 XOfficer (give titleOther (specify below) (Street) 4. If Amendment, Date Original Filed(Mont/Day/Year) 6. Individual or Datividual or								(Check all applicable)				
				(Month/Day/Year)					X Officer (give	e title Other below)		
(City)(State)(Zip)Table - Non-Derivative SecurityS. Amount of Security (Instr. 3)S. Amount of Security (Month/Day/Year)S. Amount of Security (Month/Day/Year)S. Amount of Security (Instr. 8)S. Amount of Disposed of (D) (Instr. 8)S. Amount of Securities Beneficially or $OTS. Amount ofSecuritiesBeneficially(Instr. 3)S. Amount ofSecuritiesBeneficially(Instr. 4)S. Amount ofSecuritiesBeneficially(Instr. 3)S. Amount ofSecuritiesBeneficially(Instr. 4)S. Amount ofSecurities(Instr. 4)S. Amount of$	Filed(1					-			 6. Individual or Joint/Group Filing(Check Applicable Line) _X_ Form filed by One Reporting Person Form filed by More than One Reporting 			
Security (Instr. 3)(Month/Day/Year)Execution Date, if any (Month/Day/Year)TransactionAcquired (A) or CodeSecurities Disposed of (D) (Instr. 3, 4 and 5)Securities Beneficially Owned Following Reported Transaction(s) (Instr. 3 and 4)Form: Direct Beneficial Ownership (Instr. 4)Indirect Beneficial Ownership (Instr. 4)Common Stock12/31/2012A313 (1) CodeA\$ 04,981DCommon StockCommon12/31/2012AS 0350,584D	(City)	(State)	(Zip)	Table	e I - Non-D	erivative s	Secur	ities Ao	equired, Disposed of	f, or Beneficial	lly Owned	
Code V Amount (D) Price (Instr. 3 and 4) Common Stock 12/31/2012 A 313 (1) A \$ 0 4,981 D Common Stock 350,584 D	Security		Executio any	on Date, if	TransactionAcquired (A) orCodeDisposed of (D)(Instr. 8)(Instr. 3, 4 and 5)))	Securities Beneficially Owned Following Reported	Form: Direct (D) or Indirect (I)	Indirect Beneficial Ownership		
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Common									350,584	D		
Stock 88,771 I By ESOP	Common Stock								88,771	I	By ESOP	
$\begin{array}{c} \text{Common} \\ \text{Stock} \end{array} \qquad \begin{array}{c} 1,722,225.25 \\ \underline{(2)} \end{array} I \qquad \text{By spouse} \end{array}$										Ι	By spouse	

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

Persons who respond to the collection of SEC 1474 information contained in this form are not (9-02)

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required to respond unless the form displays a currently valid OMB control number.

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. Transactio Code (Instr. 8)	5. orNumber of Derivatives Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)			7. Title and A Underlying S (Instr. 3 and	Securities
				Code V	(A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares
Stock Option	\$ 19.925					01/16/2004(3)	01/16/2013	Common Stock	47,500
Stock Option	\$ 24.8					11/20/2004(3)	11/20/2013	Common Stock	105,140
Stock Option	\$ 37					02/17/2006(3)	02/17/2015	Common Stock	39,820
Stock Option	\$ 36.24					01/25/2007(3)	01/25/2016	Common Stock	42,690
Stock Option	\$ 23.37					02/21/2009(4)	02/21/2018	Common Stock	44,000
Restricted Stock Units	<u>(5)</u>					<u>(6)</u>	<u>(6)</u>	Common Stock	4,846
Restricted Stock Units	<u>(5)</u>					(7)	<u>(7)</u>	Common Stock	6,047
Restricted Stock Units	<u>(5)</u>					(8)	(8)	Common Stock	4,819
Restricted Stock Units	<u>(5)</u>					<u>(9)</u>	<u>(9)</u>	Common Stock	7,964

Reporting Owners

Reporting Owner Name / Address

Relationships

Director 10% Owner Officer Other

TANG ANTHONY M 777 NORTH BROADWAY LOS ANGELES, CA 90012

EVP

Signatures

Monica Chen,
attorney-in-fact01/03/2013**Signature of Reporting PersonDate

Explanation of Responses:

* If the form is filed by more than one reporting person, see Instruction 4(b)(v).

X

** Intentional misstatements or omissions of facts constitute Federal Criminal Violations. See 18 U.S.C. 1001 and 15 U.S.C. 78ff(a).

Shares of Cathay General Banorp (the "Company") common stock acquired under the Company's 2005 Incentive Plan. As a condition to receiving these shares, the reporting person agreed to hold and not transfer, for the entire period during which the Company has any

- (1) obligations outstandig under the U.S. Treasury's Troubled Asset Relief Program (disregarding any warrants to purchase common stock of the Company that the U.S. Treasury may hold) (the "Restriction Period"), all of the shares received. These transfer restrictions will terminate upon the earlier of the end of the Restriction Period or the date of the reporting person's death or permanent disability.
- (2) Includes 660.678 shares acquired through dividend reinvestment year-to-date.
- (3) The option is fully exercisable.
- (4) The option vests in 5 equal annual installments beginning 2/21/09.

Consists of long term restricted stock units within the meaning of the Emergency Economic Stabilization Act of 2008, as amended from(5) 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.

- (6) These restricted stock units are scheduled to vest in a single installment on March 23, 2013, 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 December 15, 2013, or earlier in the event of death or disability, and are subject to certain transfer restrictions under EESA.
- (8) 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.
- (9) 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.

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.