

CATHAY GENERAL BANCORP  
Form 4  
October 25, 2013

**FORM 4**

**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).

**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 \*  
WU PETER

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)  
10/25/2013

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

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 Ownership (Instr. 4)
				(A) or (D) Price			
Common Stock					22,101	D	
Common Stock	10/25/2013		G	10,000 D \$ 0	864,299 <sup>(1)</sup>	I	By PACJU, LLC

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

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SEC 1474 (9-02)

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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)		
				Code	V (A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares
Stock Option	\$ 28.695					02/19/2005 <sup>(2)</sup>	02/19/2014	Common Stock	100,000
Stock Option	\$ 37					02/17/2006 <sup>(2)</sup>	02/17/2015	Common Stock	72,170
Stock Option	\$ 36.24					01/25/2007 <sup>(2)</sup>	01/25/2016	Common Stock	72,170
Stock Option	\$ 23.37					02/21/2009 <sup>(2)</sup>	02/21/2018	Common Stock	72,230
Restricted Stock Units	<sup>(3)</sup>					<sup>(4)</sup>	<sup>(4)</sup>	Common Stock	9,116
Restricted Stock Units	<sup>(3)</sup>					<sup>(5)</sup>	<sup>(5)</sup>	Common Stock	5,379
Restricted Stock Units	<sup>(3)</sup>					<sup>(6)</sup>	<sup>(6)</sup>	Common Stock	13,716

## Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
WU PETER 777 NORTH BROADWAY LOS ANGELES, CA 90012	X		Executive Vice Chairman/COO	

## Signatures

Monica Chen,  
Attorney-in-fact

10/25/2013

        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).

The reporting person is a co-trustee, together with his spouse, of the Wu Trust (the "Trust"), which has transferred the shares of CATY Common Stock previously held by the Trust to PACJU, LLC ("PACJU"), a Delaware limited liability company of which the Trust will serve as Manager and hold a 51.5% interest, with the reporting person and his spouse each holding a .5% ownership interest in PACJU in their own names. The balance of the interests in PACJU will be held by the reporting person's adult children, none of whom shares a household with the reporting person. The reporting person disclaims beneficial ownership of CATY Stock held by PACJU except to the extent of his pecuniary interest therein.

(1) 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.

(4) 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.

(5) 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.

(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.

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. solid; BORDER-LEFT: #000000 1px solid" align="left"> **6 SHARED VOTING**

**POWER n/a 7 SOLE DISPOSITIVE POWER 28,280,600 8 SHARED DISPOSITIVE**

**POWER n/a 9 AGGREGATE AMOUNT BENEFICIALLY OWNED BY EACH REPORTING**

**PERSON 28,280,600 10 CHECK IF THE AGGREGATE AMOUNT IN ROW (9) EXCLUDES CERTAIN**

**SHARES (SEE INSTRUCTIONS) o 11 PERCENT OF CLASS REPRESENTED BY AMOUNT IN ROW**

**(9) 10.91% 12 TYPE OF REPORTING PERSON (SEE INSTRUCTIONS) CO**

**FOOTNOTES**

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Item 1.

- (a) Name of Issuer  
Golden Star Resources Ltd.
- (b) Address of Issuer's Principal Executive Offices  
150 King Street West  
Sun Life Financial Tower, Suite 1200  
Toronto, Ontario  
M5H 1J9  
Canada

Item 2.

- (a) Name of Person Filing
  - i) Sentry Investments Inc.
  - ii) Sentry Select Capital Corp.
- (b) Address of Principal Business Office or, if none, Residence  
199 Bay Street, Suite 4100  
Commerce Court West, PO Box 108  
Toronto, Ontario  
M5L 1E2  
Canada
- (c) Citizenship
  - i) Province of Ontario, Canada
  - ii) Province of Ontario, Canada
- (d) Title of Class of Securities  
Common stock, par value \$0.01 per share
- (e) CUSIP Number  
38119T104

Item 3. If this statement is filed pursuant to §§240.13d-1(b) or 240.13d-2(b) or (c), check whether the person filing is a:

- (a)  Broker or dealer registered under section 15 of the Act (15 U.S.C. 78o).
- (b)  Bank as defined in section 3(a)(6) of the Act (15 U.S.C. 78c).
- (c)  Insurance company as defined in section 3(a)(19) of the Act (15 U.S.C. 78c).
- (d)  Investment company registered under section 8 of the Investment Company Act of 1940 (15 U.S.C. 80a-8).
- (e)  An investment adviser in accordance with §240.13d-1(b)(1)(ii)(E);

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- (f) o An employee benefit plan or endowment fund in accordance with §240.13d-1(b)(1)(ii)(F);
  - (g) o A parent holding company or control person in accordance with § 240.13d-1(b)(1)(ii)(G);
  - (h) o A savings associations as defined in Section 3(b) of the Federal Deposit Insurance Act (12 U.S.C. 1813);
  - (i) o A church plan that is excluded from the definition of an investment company under section 3(c)(14) of the Investment Company Act of 1940 (15 U.S.C. 80a-3);
  - (j) x A non-U.S. institution in accordance with § 240.13d-1(b)(1)(ii)(J).
  - (k) o A group, in accordance with § 240.13d-1(b)(1)(ii)(K). If filing as a non-U.S. institution in accordance with § 240.13d-1(b)(1)(ii)(J), please specify the type of institution: Investment fund manager and portfolio manager
-

Item 4. Ownership.

Provide the following information regarding the aggregate number and percentage of the class of securities of the issuer identified in Item 1.

- (a) Amount beneficially owned: 28,280,600
- (b) Percent of class: 10.91
- (c) Number of shares as to which the person has:
  - (i) Sole power to vote or to direct the vote: 28,280,600
  - (ii) Shared power to vote or to direct the vote: NaN
  - (iii) Sole power to dispose or to direct the disposition of: 28,280,600
  - (iv) Shared power to dispose or to direct the disposition of: NaN

Item 5. Ownership of Five Percent or Less of a Class

If this statement is being filed to report the fact that as of the date hereof the reporting person has ceased to be the beneficial owner of more than five percent of the class of securities, check the following o .

n/a

Item 6. Ownership of More than Five Percent on Behalf of Another Person.

n/a

Item 7. Identification and Classification of the Subsidiary Which Acquired the Security Being Reported on By the Parent Holding Company

n/a

Item 8. Identification and Classification of Members of the Group

n/a

Item 9. Notice of Dissolution of Group

n/a

Item Certification  
10.

By signing below I certify that, to the best of my knowledge and belief, the foreign regulatory scheme applicable to investment fund managers and portfolio managers is substantially comparable to the regulatory scheme applicable to the functionally equivalent U.S. institution(s). I also undertake to furnish to the Commission staff, upon request, information that would otherwise be disclosed in a Schedule 13D.

SIGNATURE

After reasonable inquiry and to the best of my knowledge and belief, I certify that the information set forth in this statement is true, complete and correct.

**Sentry Investments Inc.**

Date: February 11, 2014

By: /s/ James A. McIntyre  
Name: James A. McIntyre  
Title: Co-Chief Executive Officer

**Sentry Select Capital Corp.**

Date: February 11, 2014

By: /s/ James A. McIntyre  
Name: James A. McIntyre  
Title: President

Footnotes: Item 4(a) Amount beneficially owned: 28,280,600 shares of common stock beneficially owned by Sentry Investments Inc. Sentry Investments Inc. is the wholly-owned subsidiary of Sentry Select Capital Corp.

Investment fund manager and portfolio manager

Agreement of Joint Filing

Golden Star Resources Ltd.

Common stock, par value \$0.01 per share

In accordance with Rule 13d-1(k) under the Securities Exchange Act of 1934, as amended, the above signed hereby confirm the agreement by and among them to the joint filing on behalf of each of them of a Statement on Schedule 13G, and any and all amendments thereto, with respect to the above referenced securities and that this Agreement be included as an Exhibit to such filing.

Attention: Intentional misstatements or omissions of fact constitute Federal criminal violations (See 18 U.S.C. 1001)

Explanation of Responses:

