

CATHAY GENERAL BANCORP  
 Form 4  
 October 28, 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 \*  
 CHAN KELLY L

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)  
 LOS ANGELES, CA 90012  
 (City) (State) (Zip)

3. Date of Earliest Transaction (Month/Day/Year)  
 10/25/2013  
 4. If Amendment, Date Original Filed(Month/Day/Year)

Director  10% Owner  
 Officer (give title below)  Other (specify below)  
 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 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) |
|---------------------------------|--------------------------------------|--|--------------------------------|---|---|--|---|
|                                 |                                      |  |                                | (A) or (D)  | Price   |  |   |
| Common Stock                    |                                      |  |                                |   | 90,480  | D  |   |
| Common Stock                    |                                      |  |                                |   | 9,800   | I  | By spouse   |
| Common Stock                    |                                      |  |                                |   | 58,288  | I  | Living Trust  |
| Common Stock                    |                                      |  |                                |   | 13,140  | I  | As custodian for son                                  |
| Common Stock                    | 10/25/2013                           |  | P                              | 1,000 A   | \$ 28,096<br>25.56  | I  | Partner - Chansons                                    |

|                 |         |   |  |
|-----------------|---------|---|--|
| Common<br>Stock | 200,000 | I | Properties<br>Trustee -<br>WHFC<br>Trust |
|-----------------|---------|---|--|

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

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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<br>Derivative<br>Security<br>(Instr. 3) | 2. Conversion<br>or Exercise<br>Price of<br>Derivative<br>Security | 3. Transaction Date<br>(Month/Day/Year) | 3A. Deemed<br>Execution Date, if<br>any<br>(Month/Day/Year) | 4. Transaction<br>Code<br>(Instr. 8) | 5. Number<br>of<br>Derivative<br>Securities<br>Acquired<br>(A) or<br>Disposed<br>of (D)<br>(Instr. 3,<br>4, and 5) | 6. Date Exercisable and<br>Expiration Date<br>(Month/Day/Year) | 7. Title and Amount of<br>Underlying Securities<br>(Instr. 3 and 4) | 8. Amount<br>or<br>Number<br>of Shares |
|---|--|---|---|--------------------------------------|--|--|---|--|
| Stock<br>Option                                     | \$ 24.8  |   |   |                                      |  | 11/20/2004 <sup>(1)</sup> 11/20/2013                           | Common<br>Stock   | 11,000                                 |
| Stock<br>Option                                     | \$ 37  |   |   |                                      |  | 02/17/2006 <sup>(1)</sup> 02/17/2015                           | Common<br>Stock   | 3,500                                  |
| Stock<br>Option                                     | \$ 36.24   |   |   |                                      |  | 01/25/2007 <sup>(1)</sup> 01/25/2016                           | Common<br>Stock   | 3,500                                  |
| Stock<br>Option                                     | \$ 23.37   |   |   |                                      |  | 02/21/2009 <sup>(2)</sup> 02/21/2018                           | Common<br>Stock   | 3,500                                  |

## Reporting Owners

| Reporting Owner Name / Address                              | Relationships |           |         |       |
|---|---------------|-----------|---------|-------|
|   | Director      | 10% Owner | Officer | Other |
| CHAN KELLY L<br>777 NORTH BROADWAY<br>LOS ANGELES, CA 90012 | X             |           |         |       |

## Signatures

/s/ Kelly L.  
Chan

10/28/2013

\_\_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).

- (1) The option is fully exercisable.
- (2) The option vests in 5 equal annual installments beginning 2/21/09.

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, *see* Instruction 6 for procedure.  
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