Edgar Filing: CATHAY GENERAL BANCORP - Form 4

CATHAY GI Form 4 July 23, 2013	ENERAL BAI	NCORP									
FORM Check this if no long subject to Section 16 Form 4 or Form 5 obligation may conti <i>See</i> Instru 1(b).	s box er STAT 5. Filed p s Section 1	EMENT O pursuant to a 7(a) of the	Was F CHAN Section 16	hington, l GES IN B SECURI 6(a) of the ility Holdi	D.C. 205 BENEFI TIES Securiti	5 49 CIAI es Ex pany	L OW tchang Act o	COMMISSION NERSHIP OF ge Act of 1934, f 1935 or Sectio 40	OMB Number: Expires: Estimated a burden hou response	irs per	
(Print or Type R 1. Name and Ad BINGHAM	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) 3. (M 777 NORTH BROADWAY 07 (Street) 4.			(Month/Da 07/19/20 4. If Amer	-				Director 10% Owner XOfficer (give title Other (specify below) EVP - Chief Credit Officer 6. Individual or Joint/Group Filing(Check Applicable Line)			
LOS ANGE	LES, CA 9001 (State)	12 (Zip)	Table	e I - Non-De	erivative S	ecuri	ties Acc	_X_ Form filed by M Form filed by M Person Quired, Disposed o	More than One Re	eporting	
1.Title of Security (Instr. 3)	2. Transaction I (Month/Day/Ye	ear) Execution any	emed on Date, if /Day/Year)	3. Transactio Code (Instr. 8) Code V	Disposed (Instr. 3,	(A) o of (D)	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)	
Common Stock	07/19/2013			А	124 <u>(1)</u>	А	\$0	6,743	D		

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.

 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. Transacti Code (Instr. 8)	5. orNumber of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)			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	\$ 38.38					11/18/2005(2)	11/18/2014	Common Stock	10,000
Stock Option	\$ 37					02/17/2006(2)	02/17/2015	Common Stock	10,000
Stock Option	\$ 36.24					01/25/2007(2)	01/25/2016	Common Stock	34,930
Stock Option	\$ 23.37					02/21/2009(2)	02/21/2018	Common Stock	35,000
Restricted Stock Units	<u>(3)</u>					<u>(4)</u>	(4)	Common Stock	4,744
Restricted Stock Units	<u>(3)</u>					(5)	(5)	Common Stock	3,451
Restricted Stock Units	<u>(3)</u>					<u>(6)</u>	(6)	Common Stock	5,540

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Reporting Owners

Reporting Owner Name / Address	Relationships							
1	Director	10% Owner	Officer	Other				
BINGHAM KIM R 777 NORTH BROADWAY LOS ANGELES, CA 90012			EVP - Chief Credit Officer					
Signatures								
Monica Chen, attorney-in-fact	07/23	3/2013						
**Signature of Reporting Person	Da	ate						

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).

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) 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
 (3) 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.