CATHAY GENERAL BANCORP

Form 5

February 09, 2017

OMB APPROVAL FORM 5 **OMB** UNITED STATES SECURITIES AND EXCHANGE COMMISSION 3235-0362 Number: Washington, D.C. 20549 Check this box if January 31, Expires: no longer subject 2005 to Section 16. Estimated average ANNUAL STATEMENT OF CHANGES IN BENEFICIAL Form 4 or Form burden hours per OWNERSHIP OF SECURITIES 5 obligations response... 1.0 may continue. See Instruction

See Instruction
1(b). Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934,
Form 3 Holdings Section 17(a) of the Public Utility Holding Company Act of 1935 or Section
Reported
Form 4 30(h) of the Investment Company Act of 1940

2. Issuer Name and Ticker or Trading

5. Relationship of Reporting Person(s) to

Transactions Reported

WONG IDWIN

1. Name and Address of Reporting Person *

WONG IRWIN			Symbol CATHAY GENERAL BANCORP [CATY]					(Check all applicable)				
(Last)	(First) ((N	3. Statement for Issuer's Fiscal (Month/Day/Year) 12/31/2016			ar End						
777 NORT	H BROADWAY	1.	12,01,2010					SEVP, Chief Operating Officer				
	(Street)		4. If Amendment, Date Original 6. Individual or Joint/Group Filed(Month/Day/Year) (check applicable)									
LOS ANG	ELES, CA 900	012						Form Filed by Or Form Filed by Mo				
(City)	(State)	(Zip)	Tab	le I - Non-Dei	rivative Sec	curitie	es Acquirec	d, Disposed of,	or Beneficiall	y Owned		
1.Title of Security (Instr. 3)	2. Transaction Date (Month/Day/Year)		ate, if	3. Transaction Code (Instr. 8)	4. Securiti or Dispose (Instr. 3, 4)	ed of (D)	5. Amount of Securities Beneficially Owned at end of Issuer's Fiscal Year (Instr. 3 and 4)	Ownership Form:	7. Nature of Indirect Beneficial Ownership (Instr. 4)		
Common Stock	03/11/2016	Â		J <u>(1)</u>	34.501	A	\$ 28.465	29,794.89	D	Â		
Common Stock	06/13/2016	Â		J <u>(1)</u>	33.547	A	\$ 29.46	29,794.89	D	Â		
Common Stock	09/12/2016	Â		<u>J(1)</u>	31.916	A	\$ 31.155	29,794.89	D	Â		
Common Stock	12/12/2016	Â		$J_{\underline{(1)}}$	30.981	A	\$ 37.66	29,794.89	D	Â		

Edgar Filing: CATHAY GENERAL BANCORP - Form 5

Common Stock 12/31/2016 \hat{A} J $^{(2)}$ 423.42 \hat{A} \$ 38.03 17,818.78 \hat{I} By ESOP

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.

SEC 2270 (9-02)

> of D

Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)

1. Title of	2.	3. Transaction Date	3A. Deemed	4.	5.	6. Date Exerc	cisable and	7. Titl	le and	8. Price of
Derivative	Conversion	(Month/Day/Year)	Execution Date, if	Transaction	Number	Expiration D	ate	Amou	int of	Derivative
Security	or Exercise		any	Code	of	(Month/Day/	Year)	Under	rlying	Security
(Instr. 3)	Price of		(Month/Day/Year)	(Instr. 8)	Derivative	e		Secur	ities	(Instr. 5)
	Derivative				Securities			(Instr.	3 and 4)	
	Security				Acquired					
					(A) or					
					Disposed					
					of (D)					
					(Instr. 3,					
					4, and 5)					
									Amount	
									or	
						Date	Expiration	Title	Number	
						Exercisable	Date		of	
					(A) (D)				Shares	
					(A) (D)				Shares	

Reporting Owners

Reporting Owner Name / Address	Relationships						
	Director	10% Owner	Officer	Other			
WONG IRWIN 777 NORTH BROADWAY LOS ANGELES, CA 90012	Â	Â	SEVP, Chief Operating Officer	Â			

Signatures

/s/ Monica Chen,
attorney-in-fact

**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) Dividend Reinvestment.
- (2) ESOP DR earnings allocation.

Note: File three copies of this Form, one of which must be manually signed. If space provided 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.

Reporting Owners 2