

WU PETER

Form 4

March 26, 2013

FORM 4**UNITED STATES SECURITIES AND EXCHANGE COMMISSION
Washington, D.C. 20549**

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

OMB APPROVAL

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(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)

LOS ANGELES, CA 90012

(City) (State) (Zip)

3. Date of Earliest Transaction
(Month/Day/Year)
03/22/2013

4. If Amendment, Date Original
Filed(Month/Day/Year)

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

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 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 Indirect Beneficial Ownership (Instr. 4)
			Code	V	Amount	(A) or (D)	Price
Common Stock	03/22/2013		M ⁽¹⁾		6,192	A	\$ 0
Common Stock	03/25/2013		S ⁽²⁾		2,308	D	\$ 20.18
Common Stock							874,299 ⁽³⁾
						I	By PACJU, LLC

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

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information contained in this form are not
required to respond unless the form**

SEC 1474
(9-02)

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. 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 Number Shares
Stock Option	\$ 28.695					02/19/2005 ⁽⁴⁾	02/19/2014	Common Stock	100,0
Stock Option	\$ 37					02/17/2006 ⁽⁴⁾	02/17/2015	Common Stock	72,17
Stock Option	\$ 36.24					01/25/2007 ⁽⁴⁾	01/25/2016	Common Stock	72,17
Stock Option	\$ 23.37					02/21/2009 ⁽⁴⁾	02/21/2018	Common Stock	72,23
Restricted Stock Units	\$ 0 ⁽⁵⁾	03/22/2013		M	6,192	⁽⁶⁾	⁽⁶⁾	Common Stock	6,19
Restricted Stock Units	⁽⁷⁾					⁽⁸⁾	⁽⁸⁾	Common Stock	9,11
Restricted Stock Units	⁽⁷⁾					⁽⁹⁾	⁽⁹⁾	Common Stock	5,37
Restricted Stock Units	⁽⁷⁾					⁽¹⁰⁾	⁽¹⁰⁾	Common Stock	13,71

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

03/26/2013

__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) Represents the conversion into Common Stock upon vesting of the restricted stock units reported on Table II.
- (2) These sales were effected to satisfy the reporting person's tax withholding obligations with respect to the vesting of the restricted stock units.

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.
- (4) The option is fully exercisable.
- (5) Each restricted stock unit represented a contingent right to receive one share of Common Stock of the Issuer.
- (6) The reporting person previously reported the award of 6,192 shares of restricted stock units on Form 4 filed March 25, 2011. All of these restricted stock units vested on March 22, 2013.

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.
- (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.
- (9) 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.
- (10) 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.

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