

CHENG DUNSON K
Form 4
March 05, 2019

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 *
CHENG DUNSON K

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)
03/01/2019

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

LOS ANGELES, CA 90012

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

(City) (State) (Zip)

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 Indirect Beneficial Ownership (Instr. 4)
Common Stock					435,577	I	Husband & Wife Trust
Common Stock					182,452	I	Nonmarital Share Trust
Common Stock					102,904	I	By ESOP
Common Stock	03/01/2019		M ⁽¹⁾	30,392 A	\$ 0 72,753	D	
Common Stock	03/01/2019		F ⁽⁴⁾	13,437 D	\$ 59,316 38.36	D	

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Common Stock	03/01/2019	M	2,013	A	\$ 0	61,329	D
Common Stock	03/01/2019	F ⁽⁴⁾	999	D	\$ 38.36	60,330	D

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

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(9-02)

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 Underlying Securities (Instr. 3 and 4)			
				Code	V	(A)	(D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares
Restricted Stock Units	(1)	03/01/2019		M			18,862 (2)	(3)	(3)	Common Stock	18,862
Restricted Stock Units	(5)	03/01/2019		M			2,013	03/01/2019	(6)	Common Stock	2,013
Restricted Stock Units	(5)	03/01/2019		A		10,664		(7)	(7)	Common Stock	10,664

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
CHENG DUNSON K 777 NORTH BROADWAY LOS ANGELES, CA 90012	X		Executive Chairman	

Signatures

/s/ Georgia Lo,
attorney-in-fact

03/05/2019

 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).

Shares of the Issuer's Common Stock received by the Reporting Person from the vesting of performance-based restricted stock units

- (1) granted on December 17, 2015. Such restricted stock units were previously reported in Table II on a Form 4 filed by the Reporting Person with the Securities and Exchange Commission on December 21, 2015.
- (2) Of the previously reported target award of 18,862 shares of performance-based restricted stock units, 150% of the target award was earned based upon the achievement of certain performance criteria.
- (3) Performance-based restricted stock units vested on December 31, 2018.
- (4) Shares withheld by Registrant to satisfy tax withholding requirement on vesting of restricted stock units.
- (5) Each restricted stock unit represented a contingent right to receive one share of Common Stock of the Issuer.
- (6) Reporting Person was granted 6,038 restricted stock units on March 1, 2018, with a vesting schedule of 3 annual equal installments beginning March 1, 2019, or earlier in the event of death, disability, retirement, or change in control.
- (7) These restricted stock units are scheduled to vest in 3 annual equal installments beginning March 1, 2020, or earlier in the event of death, disability, retirement, or change in control.

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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