

CATHAY GENERAL BANCORP  
 Form 5  
 February 01, 2007

# FORM 5

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

OMB APPROVAL

OMB Number: 3235-0362  
 Expires: January 31, 2005  
 Estimated average burden hours per response... 1.0

Check this box if no longer subject to Section 16. Form 4 or Form 5 obligations may continue. See Instruction 1(b).  
 Form 3 Holdings Reported Form 4 Transactions Reported

**ANNUAL 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

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)

3. Statement for Issuer's Fiscal Year Ended (Month/Day/Year)  
 12/30/2006

Director  10% Owner  
 Officer (give title below)  Other (specify below)  
 Chairman, President & CEO

777 NORTH BROADWAY

(Street)

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

6. Individual or Joint/Group Reporting

(check applicable line)

LOS ANGELES, CA 90012

(City) (State) (Zip)

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 at end of Issuer's Fiscal Year (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)  | Amount or Price  |  |   |
| Common Stock                    | 01/24/2006                           | Â  | J <sup>(1)</sup>               | 207.202 A   | \$ 34.758  | 356,483.53 D   | Â   |
| Common Stock                    | 04/25/2006                           | Â  | J <sup>(1)</sup>               | 199.494 A   | \$ 36.1944   | 356,483.53 D   | Â   |
| Common Stock                    | 07/25/2006                           | Â  | J <sup>(1)</sup>               | 209.665 A   | \$ 34.5242   | 356,483.53 D   | Â   |
| Common Stock                    | 10/25/2006                           | Â  | J <sup>(1)</sup>               | 206.042 A   | \$ 33.9124   | 356,483.53 D   | Â   |

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|              |            |   |                  |       |   |            |         |   |                      |
|--------------|------------|---|------------------|-------|---|------------|---------|---|----------------------|
| Common Stock | 12/31/2006 | Â | J <sup>(2)</sup> | 1,146 | A | \$ 34.8473 | 96,105  | I | By ESOP              |
| Common Stock | Â          | Â | Â                | Â     | Â | Â          | 239,308 | I | Husband & Wife Trust |

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

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SEC 2270 (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 of Underlying Securities (Instr. 3 and 4) |
|--|--|--------------------------------------|--|--------------------------------|---|--|---|
|  |  |                                      |  |                                | (A) (D)   | Date Exercisable Expiration Date                         | Title Amount Number Shares                                    |
| Stock Option                               | \$ 8.25  | Â                                    | Â  | Â                              | Â Â   | 09/17/1999 <sup>(3)</sup> 09/17/2008                     | Common Stock 40,000   |
| Stock Option                               | \$ 10.625  | Â                                    | Â  | Â                              | Â Â   | 01/20/2001 <sup>(3)</sup> 01/20/2010                     | Common Stock 73,320   |
| Stock Option                               | \$ 15.0475   | Â                                    | Â  | Â                              | Â Â   | 01/18/2002 <sup>(3)</sup> 01/18/2011                     | Common Stock 74,160   |
| Stock Option                               | \$ 16.275  | Â                                    | Â  | Â                              | Â Â   | 02/21/2003 <sup>(4)</sup> 02/21/2012                     | Common Stock 79,320   |
| Stock Option                               | \$ 19.925  | Â                                    | Â  | Â                              | Â Â   | 01/16/2004 <sup>(5)</sup> 01/16/2013                     | Common Stock 153,060  |
| Stock Option                               | \$ 24.8  | Â                                    | Â  | Â                              | Â Â   | 11/20/2004 <sup>(6)</sup> 11/20/2013                     | Common Stock 246,940  |
| Stock Option                               | \$ 37  | Â                                    | Â  | Â                              | Â Â   | 02/17/2006 <sup>(7)</sup> 02/17/2015                     | Common Stock 154,940  |
| Stock Option                               | \$ 32.47   | Â                                    | Â  | Â                              | Â Â   | 03/22/2005 <sup>(8)</sup> 03/22/2015                     | Common Stock 245,060  |
| Stock Option                               | \$ 33.54   | Â                                    | Â  | Â                              | Â Â   | 11/20/2005 <sup>(9)</sup> 05/12/2015                     | Common Stock 264,690  |
| Stock Option                               | \$ 36.24   | Â                                    | Â  | Â                              | Â Â   | 01/25/2007 <sup>(10)</sup> 01/25/2016                    | Common Stock 154,940  |

## Reporting Owners

| Reporting Owner Name / Address                                | Relationships |           |                                 |       |
|---|---------------|-----------|---------------------------------|-------|
|   | Director      | 10% Owner | Officer                         | Other |
| CHENG DUNSON K<br>777 NORTH BROADWAY<br>LOS ANGELES, CA 90012 | X             |           | Chairman,<br>President &<br>CEO |       |

## Signatures

Dunson K. 02/01/2007  
Cheng

\*\*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 earning allocation.
- (3) The option is fully exercisable.
- (4) The option vests in 5 equal annual installments beginning 2/21/03.
- (5) The option vests in 5 equal annual installments beginning 1/16/04.
- (6) The option vests in 5 equal annual installments beginning 11/20/04.
- (7) The option vests in 5 equal annual installments beginning 2/17/06.
- (8) 40% exercisable immediately; the rest of the option vests in 3 equal annual installments beginning 11/20/06.
- (9) 40% exercisable immediately; the rest of the option vests in 3 equal annual installments beginning 11/20/06.
- (10) The option vests in 5 equal annual installments beginning 1/25/07

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