

CATHAY GENERAL BANCORP  
Form 4  
December 05, 2006

**FORM 4**

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

OMB APPROVAL

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**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

(Print or Type Responses)

1. Name and Address of Reporting Person \*  
CHIU THOMAS C T

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. Date of Earliest Transaction (Month/Day/Year)  
12/01/2006

Director  10% Owner  
 Officer (give title below)  Other (specify below)

777 NORTH BROADWAY

(Street)

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

LOS ANGELES, CA 90012

(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 Ownership (Instr. 4) |
|---------------------------------|--------------------------------------|--|--------------------------------|---|---|--|-----------------------------------|
|                                 |                                      |  | Code                           | V Amount (A) or (D) Price   |   |  |                                   |
| Common Stock                    | 12/01/2006                           |  | P                              | 21 A \$ 33.96   | 166,323   | I  | By Family Trust                   |
| Common Stock                    | 12/01/2006                           |  | P                              | 200 A \$ 33.94  | 166,523   | I  | By Family Trust                   |
| Common Stock                    | 12/01/2006                           |  | P                              | 100 A \$ 33.93  | 166,623   | I  | By Family Trust                   |
| Common Stock                    | 12/01/2006                           |  | P                              | 150 A \$ 33.92  | 166,773   | I  | By Family Trust                   |
| Common Stock                    | 12/01/2006                           |  | P                              | 700 A \$ 33.91  | 167,473   | I  | By Family Trust                   |

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|                 |            |  |   |     |   |         |         |   |                       |
|-----------------|------------|--|---|-----|---|---------|---------|---|-----------------------|
| Common<br>Stock | 12/01/2006 |  | P | 100 | A | \$ 33.9 | 167,573 | I | By Family<br>Trust    |
| Common<br>Stock |            |  |   |     |   |         | 59,732  | I | By<br>Pension<br>Fund |

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<br>Derivative<br>Security<br>(Instr. 3) | 2. Conversion<br>or Exercise<br>Price of<br>Derivative<br>Security | 3. Transaction Date<br>(Month/Day/Year) | 3A. Deemed<br>Execution Date, if<br>any<br>(Month/Day/Year) | 4. Transaction<br>Code<br>(Instr. 8) | 5. Number<br>of<br>Derivative<br>Securities<br>Acquired<br>(A) or<br>Disposed<br>of (D)<br>(Instr. 3,<br>4, and 5) | 6. Date Exercisable and<br>Expiration Date<br>(Month/Day/Year) | 7. Title and Amount of<br>Underlying Securities<br>(Instr. 3 and 4) | 8. De<br>Sec<br>(In |  |
|---|--|---|---|--------------------------------------|--|--|---|---------------------|--|
|   |  |   |   |                                      |  | Date Exercisable   | Expiration<br>Date  | Title               | Amount<br>or<br>Number<br>of<br>Shares |
|   |  |   |   |                                      |  | Code   | V (A) (D)   |                     |  |
| Stock<br>Option                                     | \$ 11.0595   |   |   |                                      |  | 01/01/2001 <sup>(1)</sup>                                      | 12/31/2009  | Common<br>Stock     | 5,120                                  |
| Stock<br>Option                                     | \$ 21.0935   |   |   |                                      |  | 01/01/2002 <sup>(1)</sup>                                      | 12/31/2010  | Common<br>Stock     | 5,120                                  |
| Stock<br>Option                                     | \$ 17.285  |   |   |                                      |  | 01/01/2003 <sup>(1)</sup>                                      | 12/31/2011  | Common<br>Stock     | 5,120                                  |
| Stock<br>Option                                     | \$ 11.3435   |   |   |                                      |  | 01/01/2004 <sup>(1)</sup>                                      | 12/31/2012  | Common<br>Stock     | 5,120                                  |
| Stock<br>Option                                     | \$ 37  |   |   |                                      |  | 02/17/2006 <sup>(2)</sup>                                      | 02/17/2015  | Common<br>Stock     | 3,500                                  |
| Stock<br>Option                                     | \$ 36.24   |   |   |                                      |  | 01/25/2007 <sup>(3)</sup>                                      | 01/25/2016  | Common<br>Stock     | 3,500                                  |

## Reporting Owners

Reporting Owner Name / Address

Relationships

Director 10% Owner Officer Other

CHIU THOMAS C T  
777 NORTH BROADWAY X  
LOS ANGELES, CA 90012

## Signatures

Thomas C.T. 12/05/2006  
Chiu

\*\*Signature of Date  
Reporting Person

## 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) The option is fully exercisable.
- (2) The option vests in 5 equal annual installments beginning 2/17/06.
- (3) The option vests in 5 equal annual installments beginning 1/25/07.

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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