

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**

(Last) (First) (Middle)  
 777 NORTH BROADWAY  
 (Street)

LOS ANGELES, CA 90012

(City) (State) (Zip)

2. Issuer Name and Ticker or Trading Symbol  
**CATHAY GENERAL BANCORP [CATY]**

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

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

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

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

6. Individual or Joint/Group Reporting

(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 (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

Edgar Filing: CATHAY GENERAL BANCORP - Form 5

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.

**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)

**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 777 NORTH BROADWAY LOS ANGELES, CA 90012	X		Chairman, President & CEO	

## Signatures

Dunson K.  
Cheng

02/01/2007

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

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.