

# **CATHAY GENERAL BANCORP**

**Reported by**

## **CHENG DUNSON K**

### **FORM 4**

(Statement of Changes in Beneficial Ownership)

Filed 07/02/24 for the Period Ending 06/28/24

Address     777 N BROADWAY  
                  LOS ANGELES, CA, 90012

Telephone    2136254700

                  CIK    0000861842

Symbol        CATY

SIC Code      6022 - State Commercial Banks

Industry      Banks

Sector        Financials

Fiscal Year   12/31

# FORM 4

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

Check this box to indicate that a transaction was made pursuant to a contract, instruction or written plan that is intended to satisfy the affirmative defense conditions of Rule 10b5-1(c). See Instruction 10.

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

### STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF SECURITIES

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934 or  
Section 30(h) of the Investment Company Act of 1940

1. Name and Address of Reporting Person <sup>*</sup>  <b>CHENG DUNSON K</b>  (Last) (First) (Middle)  <b>777 NORTH BROADWAY</b>  (Street)  <b>LOS ANGELES, CA 90012</b>  (City) (State) (Zip)			2. Issuer Name and Ticker or Trading Symbol  <b>CATHAY GENERAL BANCORP [ CATY ]</b>					5. Relationship of Reporting Person(s) to Issuer (Check all applicable)  <input checked="" type="checkbox"/> Director <input type="checkbox"/> 10% Owner <input checked="" type="checkbox"/> Officer (give title below) <input type="checkbox"/> Other (specify below) <b>Executive Chairman</b>				
			3. Date of Earliest Transaction (MM/DD/YYYY)  <b>6/28/2024</b>									
			4. If Amendment, Date Original Filed (MM/DD/YYYY)					6. Individual or Joint/Group Filing (Check Applicable Line)  <input checked="" type="checkbox"/> Form filed by One Reporting Person <input type="checkbox"/> 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. Trans. Date	3A. Deemed Execution Date, if any	3. Trans. 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)	
			Code	V	Amount	(A) or (D)	Price				
Common Stock									384,577	I	Husband & Wife Trust
Common Stock									182,452	I	Nonmarital Share Trust
Common Stock									102,891	I	By ESOP
Common Stock									161,967	D	

**Table II - Derivative Securities 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. Trans. Date	3A. Deemed Execution Date, if any	4. Trans. 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		7. Title and Amount of Securities Underlying Derivative Security (Instr. 3 and 4)		8. Price of Derivative Security (Instr. 5)	9. Number of derivative Securities Beneficially Owned Following Reported Transaction(s) (Instr. 4)	10. Ownership Form of Derivative Security: Direct (D) or Indirect (I) (Instr. 4)	11. Nature of Indirect Beneficial Ownership (Instr. 4)
				Code	V	(A)	(D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares				
Restricted Stock Units	<u>1</u>	6/28/2024		A		8,995	<u>1</u>	<u>1</u>	<u>1</u>	Common Stock	8,995	<u>1</u>	8,995	D	
Restricted Stock Units	<u>1</u>	6/28/2024		A		9,066	<u>1</u>	<u>1</u>	<u>1</u>	Common Stock	9,066	<u>1</u>	9,066	D	
Restricted Stock Units	<u>1</u>	6/28/2024		A		18,133	<u>1</u>	<u>1</u>	<u>1</u>	Common Stock	18,133	<u>1</u>	18,133	D	

#### Explanation of Responses:

- Each restricted stock unit represented a contingent right to receive one share of Common Stock upon vesting. The number of restricted stock units that are earned can be reduced by up to 100% of the target award or increased by up to 150% of the target award, depending upon the achievement of certain performance criteria.
- These restricted stock units are scheduled to vest in a single installment on December 31, 2026, subject to continued employment, but may vest to some extent earlier in the event of death, disability, retirement after December 31, 2025 or a change in control, with the number of units earned being based on the achievement of certain performance criteria.

#### 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

7/2/2024

\*\*Signature of Reporting Person

Date

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

\* 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).

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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