

Kim Lisa L.
Form 3
April 26, 2018

FORM 3 UNITED STATES SECURITIES AND EXCHANGE COMMISSION
Washington, D.C. 20549

OMB APPROVAL

OMB Number: 3235-0104
Expires: January 31, 2005
Estimated average burden hours per response... 0.5

INITIAL STATEMENT OF 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 *		2. Date of Event Requiring Statement	3. Issuer Name and Ticker or Trading Symbol	
Â Kim Lisa L.		(Month/Day/Year)	CATHAY GENERAL BANCORP [CATY]	
(Last)	(First)	(Middle)	4. Relationship of Reporting Person(s) to Issuer	5. If Amendment, Date Original Filed(Month/Day/Year)
		04/19/2018		
777 NORTH BROADWAY			(Check all applicable)	6. Individual or Joint/Group Filing(Check Applicable Line)
	(Street)		<input type="checkbox"/> Director <input type="checkbox"/> 10% Owner	<input checked="" type="checkbox"/> Form filed by One Reporting Person
LOS ANGELES,Â CAÂ 90012			<input checked="" type="checkbox"/> Officer <input type="checkbox"/> Other	<input type="checkbox"/> Form filed by More than One Reporting Person
(City)	(State)	(Zip)	(give title below) (specify below)	
			EVP, General Counsel	

Table I - Non-Derivative Securities Beneficially Owned

1. Title of Security (Instr. 4)	2. Amount of Securities Beneficially Owned (Instr. 4)	3. Ownership Form: Direct (D) or Indirect (I) (Instr. 5)	4. Nature of Indirect Beneficial Ownership (Instr. 5)
Common Stock	1,555	D	Â

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

SEC 1473 (7-02)

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.

Table II - Derivative Securities Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)

1. Title of Derivative Security (Instr. 4)	2. Date Exercisable and Expiration Date (Month/Day/Year)	3. Title and Amount of Securities Underlying Derivative Security (Instr. 4)	4. Conversion or Exercise Price of Derivative Security	5. Ownership Form of Derivative Security: Direct (D) or Indirect	6. Nature of Indirect Beneficial Ownership (Instr. 5)
	Date Exercisable	Expiration Date	Title	Amount or Number of	

Edgar Filing: Kim Lisa L. - Form 3

				Shares		(I) (Instr. 5)	
Restricted Stock Units	Â (2)	Â (2)	Common Stock	3,951 (1)	\$ (1)	D	Â
Restricted Stock Units	Â (5)	Â (5)	Common Stock	453	\$ (6)	D	Â
Restricted Stock Units	Â (2)	Â (2)	Common Stock	3,706 (1)	\$ (1)	D	Â
Restricted Stock Units	Â (3)	Â (3)	Common Stock	1,730 (1)	\$ (1)	D	Â
Restricted Stock Units	Â (3)	Â (3)	Common Stock	3,324 (1)	\$ (1)	D	Â
Restricted Stock Units	Â (3)	Â (3)	Common Stock	1,662 (1)	\$ (1)	D	Â
Restricted Stock Units	Â (4)	Â (4)	Common Stock	1,699 (1)	\$ (1)	D	Â
Restricted Stock Units	Â (4)	Â (4)	Common Stock	1,614 (1)	\$ (1)	D	Â
Restricted Stock Units	Â (4)	Â (4)	Common Stock	3,198 (1)	\$ (1)	D	Â

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Kim Lisa L. 777 NORTH BROADWAY LOS ANGELES, CA 90012	Â	Â	Â EVP, General Counsel	Â

Signatures

/s/ Georgia Lo,
attorney-in-fact

04/26/2018

**Signature of Reporting Person

Date

Explanation of Responses:

* If the form is filed by more than one reporting person, see Instruction 5(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).

Each restricted stock unit represents a contingent right to receive one share of Common Stock upon vesting. The number of restricted

(1) 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, 2018, subject to continued employment, but

(2) may vest to some extent earlier in the event of death, disability, retirement after December 31, 2017 or a change in control, with the number of units earned being based on the achievement of certain performance criteria.

(3) These restricted stock units are scheduled to vest in a single installment on December 31, 2019, subject to continued employment, but may vest to some extent earlier in the event of death, disability, retirement after December 31, 2018 or a change in control, with the

Edgar Filing: Kim Lisa L. - Form 3

number of units earned being based on the achievement of certain performance criteria.

- (4) These restricted stock units are scheduled to vest in a single installment on December 31, 2020, subject to continued employment, but may vest to some extent earlier in the event of death, disability, retirement after December 31, 2019 or a change in control, with the number of units earned being based on the achievement of certain performance criteria.

- (5) On March 9, 2018, the Issuer granted 453 restricted stock units to the Reporting Person that vested in full on the date of the grant, and shares of common stock will distribute to the Reporting Person on the first anniversary of the date of the grant, or immediately upon the death, disability or retirement of the Reporting Person, or a change in control of the Issuer.

- (6) Each restricted stock unit represents a contingent right to receive one share of Common Stock of the Issuer.

Â

Remarks:

PowerÂ ofÂ AttorneyÂ Attached.

Note: File three copies of this Form, one of which must be manually signed. If space 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.