

EAST WEST BANCORP INC  
 Form 4  
 August 28, 2009

**FORM 4**

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

OMB APPROVAL

OMB Number: 3235-0287  
 Expires: January 31, 2009  
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Check this box if no longer subject to Section 16. Form 4 or Form 5 obligations may continue. See Instruction 1(b).

**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 \*  
**RENKEN KEITH**

2. Issuer Name and Ticker or Trading Symbol  
**EAST WEST BANCORP INC [EWBC]**

5. Relationship of Reporting Person(s) to Issuer  
 (Check all applicable)

(Last) (First) (Middle)  
**EAST WEST BANCORP, INC., 135 N. LOS ROBLES AVE. 7TH FLOOR**

3. Date of Earliest Transaction (Month/Day/Year)  
**08/26/2009**

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

**PASADENA, CA 91101**

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

(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 Indirect Beneficial Ownership (Instr. 4)			
			Code	V	Amount	(A) or (D)	Price			
Restricted Common Stock <sup>(1)</sup>	08/26/2009		A		4,094	A	\$ 9.77	22,663	D	
Common Stock	08/26/2009		A		3,198	A	\$ 9.77	8,960	I	By Partnership

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**

SEC 1474 (9-02)

number.

**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)	8. Price of Derivative Security (Instr. 5)	9. Number of Derivative Securities Beneficially Owned Following Reported Transaction (Instr. 6)
				Code	V (A) (D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares

## Reporting Owners

### Reporting Owner Name / Address

### Relationships

Director 10% Owner Officer Other

RENKEN KEITH  
EAST WEST BANCORP, INC.  
135 N. LOS ROBLES AVE. 7TH FLOOR  
PASADENA, CA 91101

X

## Signatures

Douglas P. Krause,  
Attorney-in-Fact

08/27/2009

\_\_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) Restricted Stock vests in three years.

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. extract:exhibit"

href="http://www.sec.gov/Archives/edgar/data/921114/000114420417043154/v471078\_ex10-4.htm"> . Separation and Consulting Agreement, dated May 30, 2017, by and between the Registrant and M. Scott Salka (incorporated by reference to Exhibit 10.4 to the Company's Quarterly Report on Form 10-Q, filed with the SEC on August 14, 2017)., 10.17+

... Offer Letter, dated June 1, 2017, by and between the Company and Paul C. Grint, M.D. (incorporated by reference to Exhibit 10.5 to the Company's Quarterly Report on Form 10-Q, filed with the SEC on August 14, 2017)., 10.18

10.18

Loan Repayment Deed, dated September 28, 2012, by and among the Company, Cellabs Pty Ltd and Special Phage Holdings Pty Ltd. (incorporated by reference to Exhibit 10.1 to the Company's Registration Statement on Form 10, as amended (File No. 000-23930), filed with the SEC on December 16, 2013).

10.19

Cooperative Research and Development Agreement, dated as of June 13, 2013, by and between the Company and United States Army Medical Research and Materiel Command (incorporated by reference to Exhibit 10.7 to the Company's Registration Statement on Form 10, as amended (File No. 000-23930), filed with the SEC on December 16, 2013).

II-7

## TABLE OF CONTENTS

Exhibit Number	Description of Document
<u>10.20</u>	<u>Agreement of Lease, dated as of February 23, 2011, by and between the Company and Virginia Biotechnology Research Partnership Authority (incorporated by reference to Exhibit 10.9 to the Company's Registration Statement on Form 10, as amended (File No. 000-23930), filed with the SEC on December 16, 2013).</u>
<u>10.21</u>	<u>Lease, dated as of December 8, 2011, by and between Biocontrol Limited, Nevis Limited and Charter Limited (incorporated by reference to Exhibit 10.11 to the Company's Registration Statement on Form 10, as amended (File No. 000-23930), filed with the SEC on December 16, 2013).</u>
<u>10.22*</u>	<u>License Agreement, dated as of July 3, 2007, by and between the Company and Health Protection Agency, Centre for Emergency Preparedness and Response (incorporated by reference to Exhibit 10.18 to the Company's Registration Statement on Form S-1, as amended (File No. 333-193458), filed with the SEC on January 21, 2014).</u>
<u>10.23</u>	<u>Agreement of Lease of Business Premises, dated as of February 21, 2014, by and between Avotehna d.d. and Amplphi, Biotehnoško Raziskave in Razvoj, d. o. o. (incorporated by reference to Exhibit 10.22 to the Company's Registration Statement on Form 10, as amended (File No. 000-23930), filed with the SEC on December 16, 2013).</u>
<u>10.24</u>	<u>Agreement of Sublease, dated as of April 17, 2015, by and between the Company and Virginia Biotechnology Research Partnership Authority (incorporated by reference to Exhibit 10.26 to the Company's Annual Report on Form 10-K, as amended, filed with the SEC on April 30, 2015).</u>
<u>10.25</u>	<u>Common Stock Issuance Agreement, dated April 8, 2016, by and among the Company and the persons and entities listed on Exhibit A thereto (incorporated by reference to Exhibit 4.1 to the Company's Current Report on Form 8-K, filed with the SEC on April 8, 2016).</u>
<u>10.26</u>	<u>First Amendment to Common Stock Issuance Agreement, dated June 27, 2017, by and among the Company and the persons and entities listed on Exhibit A thereto (incorporated by reference to Exhibit 99.1 to the Current Report on Form 8-K, filed on June 30, 2017).</u>
<u>10.27</u>	<u>Placement Agency Agreement, dated as of May 31, 2016, by and among the Company, Roth Capital Partners, LLC and Griffin Securities, Inc. (incorporated by reference to Exhibit 99.2 to the Company's Current Report on Form 8-K, filed with the SEC on June 1, 2016).</u>
<u>10.28</u>	<u>Settlement Agreement, dated as of November 12, 2016, by and between the Company and NRM VII Holdings I, LLC (incorporated by reference to Exhibit 99.1 to the Company's Current Report on Form 8-K, filed with the SEC on November 14, 2016).</u>
<u>21.1</u>	<u>Subsidiaries of the Company (incorporated by reference to Exhibit 21.1 to the Company's Annual Report on Form 10-K, filed with the SEC on March 14, 2018).</u>
<u>23.1</u>	<u>Consent of Cooley LLP. Reference is made to Exhibit 5.1.</u>
<u>23.2</u>	<u>Consent of Independent Registered Public Accounting Firm.</u>

24.1† Power of Attorney (contained on the signature page).

+  
Indicates management contract or compensatory plan

\*  
The Registrant has obtained confidential treatment with respect to certain portions of this exhibit

†  
Previously filed

II-8

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TABLE OF CONTENTS

SIGNATURES

Pursuant to the requirements of the Securities Act, the Registrant has duly caused this registration statement to be signed on its behalf by the undersigned, thereunto duly authorized, in the City of San Diego, California, on the 9th day of October, 2018.

AMPLIPHI BIOSCIENCES CORPORATION

By:

/s/ Paul C. Grint, M.D.

Paul C. Grint, M.D.  
Chief Executive Officer

Pursuant to the requirements of the Securities Act, this registration statement has been signed by the following persons in the capacities and on the dates indicated.

SIGNATURE	TITLE	DATE
/s/ Paul C. Grint, M.D.	Chief Executive Officer and Director (Principal Executive Officer)	October 9, 2018
Paul C. Grint, M.D.		
/s/ Steve R. Martin	Chief Financial Officer (Principal Financial and Accounting Officer)	October 9, 2018
Steve R. Martin		
/s/ Jeremy Curnock Cook*	Chairman of the Board of Directors	October 9, 2018
Jeremy Curnock Cook		
/s/ Louis Drapeau*	Director	October 9, 2018
Louis Drapeau		
/s/ Wendy S. Johnson*	Director	October 9, 2018
Wendy S. Johnson		
/s/ Michael S. Perry, Ph.D.*	Director	October 9, 2018
Michael S. Perry, Ph.D.		
/s/ Vijay B. Samant*	Director	October 9, 2018
Vijay B. Samant		

\*Pursuant to Power of Attorney

By:

/s/ Paul C. Grint, M.D.

Paul C. Grint, M.D.

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