

TARTAGLIA THOMAS G  
Form 5  
February 13, 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 \*  
TARTAGLIA THOMAS G

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. Statement for Issuer's Fiscal Year Ended (Month/Day/Year)  
12/31/2006

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 Reporting

(check applicable line)

LOS ANGELES, CA 90012

(City) (State) (Zip)

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)
				Amount (A) or (D)	Price		
Common Stock	12/31/2006	Â	J <sup>(1)</sup>	133	\$ 34.8472	13,041 <sup>(2)</sup>	I By ESOP
Common Stock	01/24/2006	Â	J <sup>(3)</sup>	166.192	\$ 34.758	64,849.07	I T. Tartaglia Trust
Common Stock	04/25/2006	Â	J <sup>(3)</sup>	160.009	\$ 36.1944	64,849.07	I T. Tartaglia Trust

Edgar Filing: TARTAGLIA THOMAS G - Form 5

Common Stock	07/25/2006	Â	J <sup>(3)</sup>	168.167	A	\$ 34.5242	64,849.07	I	T. Tartaglia Trust
Common Stock	10/24/2006	Â	J <sup>(3)</sup>	171.647	A	\$ 33.9124	64,849.07	I	T. Tartaglia Trust
Common Stock	Â	Â	Â	Â	Â	Â	882 <sup>(2)</sup>	D	Â

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)	Amount or Number of Shares
					(A)	(D)	Date Exercisable	Expiration Date		
Stock Option	\$ 10.625	Â	Â	Â	Â	Â	01/20/2005 <sup>(4)</sup>	01/20/2010	Common Stock	400
Stock Option	\$ 15.0475	Â	Â	Â	Â	Â	01/18/2005 <sup>(4)</sup>	01/18/2011	Common Stock	800
Stock Option	\$ 16.275	Â	Â	Â	Â	Â	02/21/2005 <sup>(5)</sup>	01/21/2012	Common Stock	1,200
Stock Option	\$ 19.925	Â	Â	Â	Â	Â	01/16/2005 <sup>(6)</sup>	01/16/2013	Common Stock	3,040
Stock Option	\$ 24.8	Â	Â	Â	Â	Â	11/20/2004 <sup>(7)</sup>	11/20/2013	Common Stock	11,000
Stock Option	\$ 37	Â	Â	Â	Â	Â	02/17/2006 <sup>(8)</sup>	02/17/2015	Common Stock	3,500
Stock Option	\$ 36.24	Â	Â	Â	Â	Â	01/25/2007 <sup>(9)</sup>	01/25/2016	Common Stock	3,500

## Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
TARTAGLIA THOMAS G 777 NORTH BROADWAY LOS ANGELES, CA 90012	X	^	^	^

## Signatures

Thomas G.  
Tartaglia

02/13/2007

\*\*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) ESOP Earning Allocation.
  - (2) Distribution from ESOP on 11/20/06.
  - (3) Dividend Reinvestment.
  - (4) The option is fully exercisable.
  - (5) The option vests in 3 equal annual installments beginning 2/21/05.
  - (6) The option vests in 4 equal annual installments beginning 1/16/05.
  - (7) The option vests in 5 equal annual installments beginning 11/20/04.
  - (8) The option vests in 5 equal annual installments beginning 2/17/06.
  - (9) 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.