

Board of Governors of the Federal Reserve System



# Annual Report of Holding Companies—FR Y-6

## Report at the close of business as of the end of fiscal year

This Report is required by law: Section 5(c)(1)(A) of the Bank Holding Company Act (12 U.S.C. § 1844(c)(1)(A)); sections 8(a) and 13(a) of the International Banking Act (12 U.S.C. §§ 3106(a) and 3108(a)); sections 11(a)(1), 25, and 25A of the Federal Reserve Act (12 U.S.C. §§ 248(a)(1), 602, and 611a); and sections 113, 165, 312, 618, and 809 of the Dodd-Frank Act (12 U.S.C. §§ 5361, 5365, 5412, 1850a(c)(1), and 5468(b)(1)). Return to the appropriate Federal Reserve Bank the original and the number of copies specified.

NOTE: The *Annual Report of Holding Companies* must be signed by one director of the top-tier holding company. This individual should also be a senior official of the top-tier holding company. In the event that the top-tier holding company does not have an individual who is a senior official and is also a director, the chairman of the board must sign the report. If the holding company is an ESOP/ESOT formed as a corporation or is an LLC, see the General Instructions for the authorized individual who must sign the report.

I, **THOMAS G. CALDWELL**

Name of the Holding Company Director and Official

**PRESIDENT/CEO**

Title of the Holding Company Director and Official

attest that the *Annual Report of Holding Companies* (including the supporting attachments) for this report date has been prepared in conformance with the instructions issued by the Federal Reserve System and are true and correct to the best of my knowledge and belief.

*With respect to information regarding individuals contained in this report, the Reporter certifies that it has the authority to provide this information to the Federal Reserve. The Reporter also certifies that it has the authority, on behalf of each individual, to consent or object to public release of information regarding that individual. The Federal Reserve may assume, in the absence of a request for confidential treatment submitted in accordance with the Board's "Rules Regarding Availability of Information," 12 C.F.R. Part 261, that the Reporter and individual consent to public release of all details in the report concerning that individual.*

*Thomas Caldwell*

Signature of Holding Company Director and Official

**03/30/2021**

Date of Signature

**For holding companies not registered with the SEC—**  
 Indicate status of Annual Report to Shareholders:

- is included with the FR Y-6 report
- will be sent under separate cover
- is not prepared

**For Federal Reserve Bank Use Only**

RSSD ID \_\_\_\_\_

C.I. \_\_\_\_\_

This report form is to be filed by all top-tier bank holding companies, top-tier savings and loan holding companies, and U.S. intermediate holding companies organized under U.S. law, and by any foreign banking organization that does not meet the requirements of and is not treated as a qualifying foreign banking organization under Section 211.23 of Regulation K (12 C.F.R. § 211.23). (See page one of the general instructions for more detail of who must file.) The Federal Reserve may not conduct or sponsor, and an organization (or a person) is not required to respond to, an information collection unless it displays a currently valid OMB control number.

**Date of Report** (top-tier holding company's fiscal year-end):

**December 31, 2020**

Month / Day / Year

**NONE**

Reporter's Legal Entity Identifier (LEI) (20-Character LEI Code)

Reporter's Name, Street, and Mailing Address

**MIDDLEFIELD BANC CORP.**

Legal Title of Holding Company

**15985 EAST HIGH ST/PO BOX 35**

(Mailing Address of the Holding Company) Street / P.O. Box

**MIDDLEFIELD**

**OH**

**44062**

City

State

Zip Code

Physical Location (if different from mailing address)

Person to whom questions about this report should be directed:

**MICHAEL RANTTILA**

**SVP FINANCE**

Name

Title

**440-632-8133**

Area Code / Phone Number / Extension

**440-632-8223**

Area Code / FAX Number

**MRANTTILA@MIDDLEFIELDBANK.COM**

E-mail Address

**WWW.MIDDLEFIELDBANK.BANK**

Address (URL) for the Holding Company's web page

Is confidential treatment requested for any portion of this report submission? .....	0=No 1=Yes	<b>1</b>
In accordance with the General Instructions for this report (check only one),		
1. a letter justifying this request is being provided along with the report .....	<input checked="" type="checkbox"/>	
2. a letter justifying this request has been provided separately ...	<input type="checkbox"/>	
NOTE: Information for which confidential treatment is being requested must be provided separately and labeled as "confidential."		



FORM FR Y-6  
MIDDLEFIELD BANC CORP  
MIDDLEFIELD, OH  
FISCAL YEAR ENDING DECEMBER 31, 2020

Report Item:

1. We are registered with SEC.
- 2.a. Organizational Chart – See Attached Chart
- 2.b. Domestic Branch Listing – See Attached
3. See Attached Chart.
4. See Attached Chart.

**Results:** A list of branches for your depository institution **MIDDLEFIELD BANKING COMPANY, THE (ID\_RSSD 177920)**.

This depository institution is held by **MIDDLEFIELD BANC CORP (1398740)** of **MIDDLEFIELD, OH**.

The data are as of **12/31/2020**. Data reflects information that was received and processed through **01/05/2021**.

**Reconciliation and Verification Steps**

1. In the **Data Action** column of each branch row, enter one or more of the actions specified below
2. If required, enter the date in the **Effective Date** column

**Actions**

**OK:** If the branch information is correct, enter 'OK' in the **Data Action** column.

**Change:** If the branch information is incorrect or incomplete, revise the data, enter 'Change' in the **Data Action** column and the date when this information first became valid in the **Effective Date** column.

**Close:** If a branch listed was sold or closed, enter 'Close' in the **Data Action** column and the sale or closure date in the **Effective Date** column.

**Delete:** If a branch listed was never owned by this depository institution, enter 'Delete' in the **Data Action** column.

**Add:** If a reportable branch is missing, insert a row, add the branch data, and enter 'Add' in the **Data Action** column and the opening or acquisition date in the **Effective Date** column.

If printing this list, you may need to adjust your page setup in MS Excel. Try using landscape orientation, page scaling, and/or legal sized paper.

**Submission Procedure**

When you are finished, send a saved copy to your FRB contact. See the detailed instructions on this site for more information.

If you are e-mailing this to your FRB contact, put your institution name, city and state in the subject line of the e-mail.

**Note**

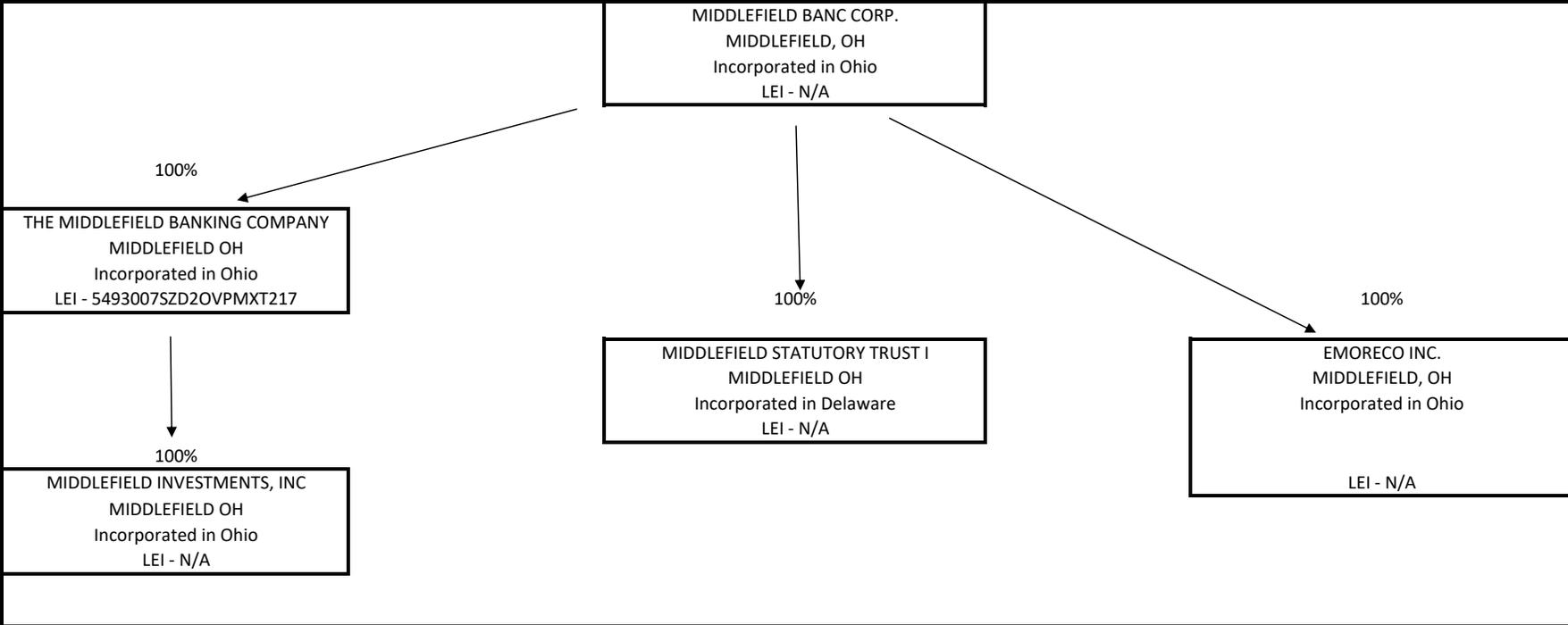
To satisfy the **FR Y-10 reporting requirements**, you must also submit FR Y-10 Domestic Branch Schedules for each branch with a **Data Action** of **Change, Close, Delete, or Add**.

The FR Y-10 report may be submitted in a hardcopy format or via the FR Y-10 Online application - <https://y10online.federalreserve.gov>.

\* FDIC UNINUM, Office Number, and ID\_RSSD columns are for reference only. Verification of these values is not required.

Data Action	Effective Date	Branch Service Type	Branch ID_RSSD*	Popular Name	Street Address	City	State	Zip Code	County	Country	FDIC UNINUM*	Office Number*	Head Office	Head Office ID_RSSD*	Comments
OK		Full Service (Head Office)	177920	MIDDLEFIELD BANKING COMPANY, THE	15985 EAST HIGH ST	MIDDLEFIELD	OH	44062	GEAUGA	UNITED STATES	Not Required	Not Required	MIDDLEFIELD BANKING COMPANY, THE	177920	
OK		Full Service	3675584	BEACHWOOD OFFICE BRANCH	25201 CHAGRIN BOULEVARD SUITE 150	BEACHWOOD	OH	44122	CUYAHOGA	UNITED STATES	Not Required	Not Required	MIDDLEFIELD BANKING COMPANY, THE	177920	
OK		Full Service	3062009	CHARDON BRANCH	348 CENTER STREET	CHARDON	OH	44024	GEAUGA	UNITED STATES	Not Required	Not Required	MIDDLEFIELD BANKING COMPANY, THE	177920	
OK		Full Service	3944084	CORTLAND OFFICE	3450 NILES-CORTLAND ROAD	CORTLAND	OH	44410	TRUMBULL	UNITED STATES	Not Required	Not Required	MIDDLEFIELD BANKING COMPANY, THE	177920	
OK		Full Service	3269974	DUBLIN BRANCH	6215 PERIMETER DRIVE	DUBLIN	OH	43017	FRANKLIN	UNITED STATES	Not Required	Not Required	MIDDLEFIELD BANKING COMPANY, THE	177920	
OK		Full Service	412528	GARRETTSVILLE BRANCH	8058 STATE STREET	GARRETTSVILLE	OH	44231	PORTAGE	UNITED STATES	Not Required	Not Required	MIDDLEFIELD BANKING COMPANY, THE	177920	
OK		Full Service	2748445	MANTUA BRANCH	10519 SOUTH MAIN STREET	MANTUA	OH	44255	PORTAGE	UNITED STATES	Not Required	Not Required	MIDDLEFIELD BANKING COMPANY, THE	177920	
OK		Full Service	535324	WEST BRANCH	15545 WEST HIGH ST.	MIDDLEFIELD	OH	44062	GEAUGA	UNITED STATES	Not Required	Not Required	MIDDLEFIELD BANKING COMPANY, THE	177920	
OK		Full Service	3658224	NEWBURY BRANCH	11110 KINSMAN ROAD UNIT 1	NEWBURY	OH	44065	GEAUGA	UNITED STATES	Not Required	Not Required	MIDDLEFIELD BANKING COMPANY, THE	177920	
OK		Full Service	3516913	ORWELL OFFICE	30 SOUTH MAPLE STREET	ORWELL	OH	44076	ASHTABULA	UNITED STATES	Not Required	Not Required	MIDDLEFIELD BANKING COMPANY, THE	177920	
OK		Full Service	5448410	PLAIN CITY	490 SOUTH JEFFERSON AVENUE	PLAIN CITY	OH	43064	MADISON	UNITED STATES	Not Required	Not Required	MIDDLEFIELD BANKING COMPANY, THE	177920	
OK		Full Service	5286443	POWELL BRANCH	10628 SAWMILL PARKWAY	POWELL	OH	43065	DELAWARE	UNITED STATES	Not Required	Not Required	MIDDLEFIELD BANKING COMPANY, THE	177920	
OK		Full Service	2844598	OLON BRANCH	6134 KRUSE DRIVE	OLON	OH	44139	CUYAHOGA	UNITED STATES	Not Required	Not Required	MIDDLEFIELD BANKING COMPANY, THE	177920	
OK		Full Service	5145063	SUNBURY BRANCH	492 W. CHERRY STREET	SUNBURY	OH	43074	DELAWARE	UNITED STATES	Not Required	Not Required	MIDDLEFIELD BANKING COMPANY, THE	177920	
OK		Full Service	1479676	TWINSBURG BRANCH	2351 EDISON BLVD.	TWINSBURG	OH	44087	SUMMIT	UNITED STATES	Not Required	Not Required	MIDDLEFIELD BANKING COMPANY, THE	177920	
OK		Full Service	3961812	WESTERVILLE BRANCH	17 NORTH STATE STREET	WESTERVILLE	OH	43081	FRANKLIN	UNITED STATES	Not Required	Not Required	MIDDLEFIELD BANKING COMPANY, THE	177920	

2.a. Organization Chart



MIDDLEFIELD BANC CORP.  
FORM FR Y-6  
December 31, 2020

REPORT ITEM 3: Securities Holders  
(1)(a)(b)(c) and (2)(a)(b)(c)

Current securities holders with ownership, control or holdings of 5% or more with power to vote as of fiscal year ending 12/31/2020			Securities holders not listed in 3(1)(a) through 3(1)(c) that had ownership, control or holdings of 5% or more with power to vote during the fiscal year ending 12/31/2020		
(1)(a) Names & Address (City, State, & Country)	(1)(b) Country of Citizenship or Incorporation	(1)(c) Number and Percentage of Each Class of Voting Securities	(2)(a) Names & Address (City, State, & Country)	(2)(b) Country of Citizenship or Incorporation	(2)(c) Number and Percentage of Each Class of Voting Securities
Ancora Advisors LLC Cleveland, Ohio 44124	USA	387,043 6.07% Common Stock (1) (2)(3)		NONE	NONE

(1) Percentage share ownership figure is based on 6,379,323 shares outstanding

(2) Based on information reported in Ancora Advisors' Form 13F filed with the SEC on February 12, 2021 and Ancora Advisors' Schedule 13D filed with the SEC on August 8, 2019

(3) Ancora Advisors LLC does not hold options, warrants, or other securities or rights to acquire voting securities

MIDDLEFIELD BANC CORP.  
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REPORT ITEM 4: INSIDERS  
(1) (2) (3)(a)(b)(c) and 4(a)(b)(c)

(1) Names & Address (City, State, & Country)	(2) Principal Occupation if other than with Bank Holding Company	(3)(a) Title & Position with Holding Company	(3)(b) Title & Position with Subsidiary (include names of subsidiaries)	(3)(c) Title & Position with Other Businesses (include names of other businesses)	(4)(a) Percentage of Voting Shares in Holding Company	(4)(b) Percentage of Voting Shares in Subsidiaries (include names of subsidiaries)	(4)(c) List Names of Other Companies (includes partnerships) If 25% or more of voting securities are held (List names of companies and percentage of voting securities held)
Thomas W. Bevan Boston Heights, OH USA	Attorney	Director	Director Middlefield Banking Co	Partner Bevan & Associates, LPA, Inc. See Confidential Exhibit	0.79%	None	See Confidential Exhibit
Thomas G. Caldwell Aurora, OH USA	N/A	President & CEO Director	President & CEO Director Middlefield Banking Co	N/A	0.73%	None	N/A
James R. Heslop, II Chardon, OH USA	N/A	Executive VP, COO & Director	Executive VP, COO & Director Middlefield Banking Co	N/A	0.43%	None	N/A
Kenneth E. Jones Blacklick, OH USA	Retired	Director	Director Middlefield Banking Co	N/A	0.14%	None	N/A
Darryl E. Mast Aurora, OH USA	Retired	Director	Director Middlefield Banking Co	N/A	0.54%	None	N/A
James J. McCaskey Chardon, OH USA	President McCaskey Landscape & Design LLC	Director	Director Middlefield Banking Co	President McCaskey Landscape & Design LLC	0.14%	None	100%
Clayton W. Rose, III Dublin, OH USA	Retired	Director	Director Middlefield Banking Co	N/A See Confidential Exhibit	0.25%	None	See Confidential Exhibit
William J. Skidmore Chardon, OH USA	Retired	Chairman Board of Directors	Chairman Board of Directors Middlefield Banking Co	N/A	0.29%	None	N/A
Donald L. Stacy Canfield, OH USA	N/A	Treasurer & CFO	N/A	N/A	0.12%	None	N/A

