

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.

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.

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.

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

I, **Tammy Bobo**

**Hocking Valley BancShares, Inc.**

Name of the Holding Company Director and Official

Legal Title of Holding Company

**Executive Vice President**

**7 W. Stimson Ave.**

Title of the Holding Company Director and Official

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

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.

**Athens**

**OH**

**45701**

City

State

Zip Code

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.

Physical Location (if different from mailing address)

Person to whom questions about this report should be directed:

**Anna Montle**

**Electronic Services Admin**

Name

Title

**740-592-4441, Ext. 241**

Area Code / Phone Number / Extension

**740-594-3147**

Area Code / FAX Number

**anna.montle@hvb1.com**

E-mail Address

**www.hvbonline.com**

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

Signature of Holding Company Director and Official

**03/26/2021**

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. \_\_\_\_\_

Is confidential treatment requested for any portion of this report submission? =No =Yes **1**

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
- 2. a letter justifying this request has been provided separately ...

NOTE: Information for which confidential treatment is being requested must be provided separately and labeled as "confidential."

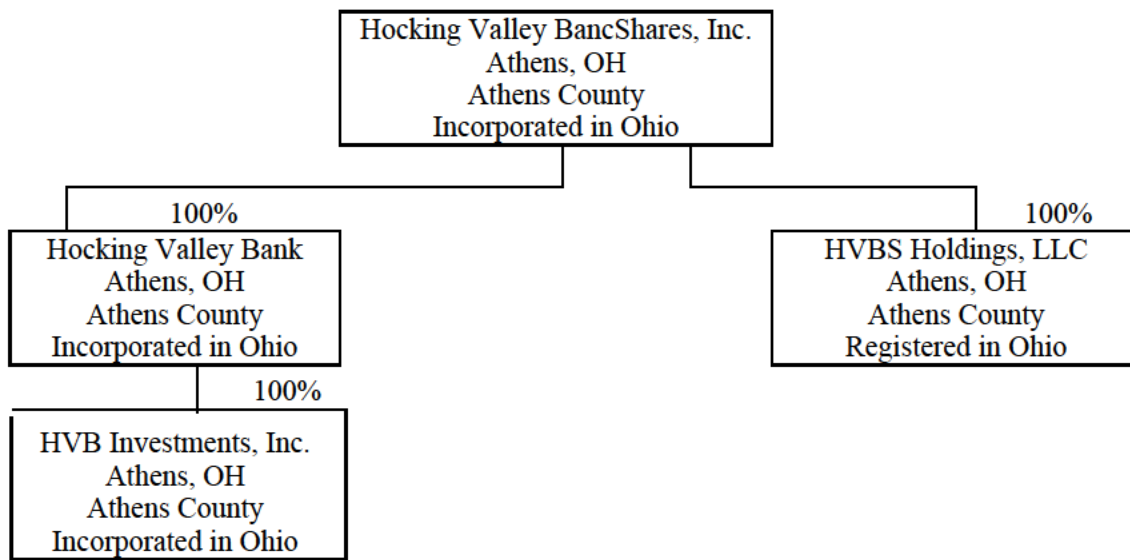
Hocking Valley BancShares, Inc.  
FR Y-6 – **Public section**  
as of December 31, 2020

**Report Item 1**

Form 10-K filed with the Securities and Exchange Commission. Neither the holding company nor the bank is regulated by the SEC. Annual report to shareholders is attached.

**Report Item 2: Organizational Chart**

2a: Organizational Chart



- (1) The Hocking Valley Bank, Athens, Ohio is a wholly-owned subsidiary of Hocking Valley BancShares, Inc. The Hocking Valley Bank holds 100% equity in a subsidiary named HVB Investments, Inc. which engages in portfolio management for the bank, currently inactive.

Additionally, the holding company is a managing member and has 100% ownership of HVBS Holdings, LLC which owns a 99-space parking lot approximately adjacent to the bank.

The company owns no interest of any kind in any other entity at this time. All the above businesses are headquartered on Stimson Avenue in Athens and do business primarily in Athens County Ohio.

*\*NOTE: LEI is N/A unless noted.*

**Results: A list of branches for your holding company: HOCKING VALLEY BANCSHARES, INC. (2170868) of ATHENS, 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)	230610		HOCKING VALLEY BANK, THE	7 WEST STIMSON	ATHENS	OH	45701	ATHENS	UNITED STATES	Not Required	Not Required	HOCKING VALLEY BANK, THE		230610	
OK		Full Service	49018		ALBANY BRANCH	5322 WASHINGTON ROAD	ALBANY	OH	45710	ATHENS	UNITED STATES	Not Required	Not Required	HOCKING VALLEY BANK, THE		230610	
OK		Full Service	176811		368 RICHLAND AVENUE BRANCH	368 RICHLAND AVENUE	ATHENS	OH	45701	ATHENS	UNITED STATES	Not Required	Not Required	HOCKING VALLEY BANK, THE		230610	
OK		Full Service	299617		COURT STREET BRANCH	23 SOUTH COURT STREET	ATHENS	OH	45701	ATHENS	UNITED STATES	Not Required	Not Required	HOCKING VALLEY BANK, THE		230610	
OK		Full Service	1356946		EAST STATE STREET BRANCH	936 EAST STATE STREET	ATHENS	OH	45701	ATHENS	UNITED STATES	Not Required	Not Required	HOCKING VALLEY BANK, THE		230610	
OK		Full Service	2657912		COOLVILLE BRANCH	26111 MAIN STREET	COOLVILLE	OH	45723	ATHENS	UNITED STATES	Not Required	Not Required	HOCKING VALLEY BANK, THE		230610	
OK		Full Service	3358579		118 NORTH PLAINS ROAD BRANCH	118 NORTH PLAINS ROAD	THE PLAINS	OH	45780	ATHENS	UNITED STATES	Not Required	Not Required	HOCKING VALLEY BANK, THE		230610	

**Report Item 3: Shareholders**

- (1) (b) Depository Trust Company  
New York, NY

is listed as holding 9,421 of the 41,764 outstanding common stock shares (23%). The stock is held for various brokerage houses the largest of which we believe to be Infinex, Wells Fargo, Edward Jones and Raymond James. To our knowledge, Edward Jones, Infinex and Raymond James have 23 accounts with 2,679 shares with no one client holding more than 615 shares. We do not have knowledge of the beneficial owners of the remaining 6,742 shares. Although we believe that many of the shares held at Wells Fargo are locally-owned we are not privy to the holders nor to the aggregate number of shares held.

- (c) Refer to confidential volume.
- (2) None.

**Report Item 4: Directors and Officers**

- (1) **Robert Gall**  
Athens, OH USA
- (2) Mr. Gall is an attorney.
- (3) (a&b) Member of the Board of Directors of the holding company and The Hocking Valley Bank.
- (c) refer to confidential volume.
- (4) Refer to confidential volume.

- (1) **Alan Geiger**  
Athens, OH USA
- (2) None.
- (3) (a&b) Member of the Board of Directors of the holding company and The Hocking Valley Bank. Serves as Vice Chairman of both.
- (c) None.
- (4) Refer to confidential volume.

- (1) **Kimberly Kelly**  
Albany, OH USA
- (2) Ms. Kelly is the owner and treasurer of Good, Inc., which owns a laundry in Athens and a number of rental properties.
- (3) (a&b) Member of the Board of Directors of the holding company and The Hocking Valley Bank.  
  
(c) None.
- (4) Refer to confidential volume.

- (1) **M. Scott Nisley**  
Athens, OH USA
- (2) None.
- (3) (a&b) Member of the Board of Directors of the holding company and The Hocking Valley Bank.  
  
(c) Refer to confidential volume.
- (4) Refer to confidential volume.

- (1) **Robert W. Norris**  
Athens, OH USA
- (2) None.
- (3) (a&b) Member of the Board of Directors of the holding company and The Hocking Valley Bank.  
  
(c) None.
- (4) Refer to confidential volume.

- (1) **Michael Putman**  
Coolville, OH USA
- (2) Mr. Putman is the owner of White -Schwarzel Funeral Homes, Inc.
- (3) (a&b) Member of the Board of Directors of the holding company and The Hocking Valley Bank.  
  
(c) Refer to confidential volume.
- (4) Refer to confidential volume.

- (1) **Mark V. Snider**  
Athens, OH USA
- (2) Mr. Snider owns Snider, Fuller & Stroh, an independent insurance agency in Athens.
- (3) (a&b) Member of the Board of Directors of the holding company and The Hocking Valley Bank.  
  
(c) Refer to confidential volume.
- (4) Refer to confidential volume.

- (1) **Benedict Weissenrieder**  
Athens, OH USA
- (2) N/A.
- (3) (a&b) Member of the Board of Directors of the holding company and The Hocking Valley Bank. Board Chair, President and Chief Executive Officer of the holding company; Board Chair of the bank.  
  
(c) None.
- (4) Refer to confidential volume.

- (1) **Tammy Bobo**  
Albany, OH USA
- (2) N/A.
- (3) (a&b) Officer of the holding company and The Hocking Valley Bank. Executive Vice President of the holding company; President of the bank.  
  
(c) None.
- (4) Refer to confidential volume.

- (1) **Polly Sumney**  
Athens, OH USA
- (2) N/A.
- (3) (a&b) Officer of the holding company and The Hocking Valley Bank. Senior Vice President & Secretary of the holding company; Executive Vice President & Secretary of the bank.  
  
(c) None.
- (4) Refer to confidential volume.

- (1) **Craig Sweeney**  
Guysville, OH USA
- (2) N/A.
- (3) (a&b) Officer of the holding company and The Hocking Valley Bank.  
Senior Vice President of the holding company and the bank.  
  
(c) Refer to confidential volume.
- (4) Refer to confidential volume.

- (1) **Jeffrey Swaim**  
Athens, OH USA
- (2) N/A.
- (3) (a&b) Officer of the holding company and The Hocking Valley Bank. Vice  
President of the holding company and of the bank.  
  
(c) None.
- (4) Refer to confidential volume.

- (1) **Mark Hamon**  
Wellston, OH USA
- (2) N/A.
- (3) (a&b) Officer of the holding company and The Hocking Valley Bank. Vice  
President of the holding company and of the bank.  
  
(c) None.
- (4) Refer to confidential volume.

- (1) **Michael Comperchio**  
Athens, OH USA
- (2) N/A.
- (3) (a&b) Officer of the holding company and The Hocking Valley Bank. Senior  
Financial Advisor of the holding company and of the bank.  
  
(c) None.
- (4) Refer to confidential volume.