

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) of the Bank Holding Company Act (12 U.S.C. § 1844(c)(1)); section 10(b)(2) of the Home Owners' Loan Act (12 U.S.C. § 1467a(b)(2)); sections 102 (a)(1), 165, and 618 of the Dodd-Frank Wall Street Reform and Consumer Protection Act (12 U.S.C. §§ 5311(a)(1), 5365, and 1850a(c)(1)); and sections 8(a) and 13(a) of the International Banking Act of 1978 (12 U.S.C. §§ 3106(a) and 3108(a)). 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):

12/31/2022

Month / Day / Year

**Reporter's Name, Street, and Mailing Address**

Empire Bancshares, Inc

Legal Title of Holding Company

144 E High St

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

Hicksville

OH



43526

City

State

Zip Code

Physical Location (if different from mailing address)

**Person to whom questions about this report should be directed:**

Mindy Bobay

EVP/CFO

Name

Title

419-542-7726

Area Code / Phone Number / Extension

419-542-8046

Area Code / FAX Number

mbobay@thb.bank

E-mail Address

www.thb.bank

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

I, Mindy Bobay

Name of the Holding Company Director and Official

EVP/CFO

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.*

*Mindy Bobay*

Signature of Holding Company Director and Official

09/07/2023

Date of Signature

### For Federal Reserve Bank Use Only

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

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

Is confidential treatment requested for any portion of this report submission?  0=No  1=Yes

In accordance with the General Instructions for this report (check only one),

- a letter justifying this request is being provided along with the report
- 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."

**Report Item 1: Annual Report to Shareholders**

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

## Checklist

The checklist below is provided to assist the holding company in filing all the necessary responses and verifying changes from the prior year to the various report items. The completed checklist should be submitted with the report. Please see section A of the General Instructions for additional guidance.

---

### Verification of Changes

All Reporters must respond to the following questions by checking the Yes or No box below, as appropriate.

Did the holding company have changes to any reportable FR Y-6 items (2a, 2b, 3, or 4) from the prior year?

- Yes     No

If checked Yes, complete the remaining checklist for Report Items 2a, 2b, 3, and 4. For each Report Item, indicate whether there are changes from the prior year by checking Yes or No below. See section A of the General Instructions for additional information.

**Report Item 2a: Organization Chart**

- Yes     No

If checked Yes, the Reporter must submit the organization chart as specified in Report Item 2.a instructions.

**Report Item 2b: Domestic Branch Listing**

- Yes     No

If checked Yes, the Reporter must submit the domestic branch listing as specified in Report Item 2.b instructions.

**Report Item 3: Securities Holders**

- Yes     No

If checked Yes, the Reporter must submit the information as specified in Report Item 3 instructions.

**Report Item 4: Insiders**

- Yes     No

If checked Yes, the Reporter must submit the information as specified in Report Item 4 instructions.

**Empire Bancshares, Inc.**  
**Hicksville, Ohio**  
**Form FR Y-6**  
**December 31, 2022**

**Report Item 3: Securities Holders**  
**(1)(a)(1)(b)(1)(c)(2)(a)(2)(b)(2)(c)**

**Current Securities Holders with ownership, control or holdings of 5% or more with pwer to vote as of 12-31-21**

**Securities Holders not listed in (3)(1)(c) that had ownership, control or holdings of 5% or more with pwer to vote during the fiscal year ending 12-31-21**

(1)(a) Name & Address State, Country)	(1)(b) (City, Country of Citizenship or Incorporation	(1)(c) Number and Percentage of Each Class of Voting Securities (Common Stock)	(2)(a) Name & Address (City, State, Country)	(2)(b) Country of Citizenship or Incorporation	(2)(c) Number and Percentage of Each Class of Voting Securities
Deborah Bagenstose Bluffton, South Carolina, USA	USA	71,584 10.85%	N/A	N/A	N/A
Nancy A. Elder Trepashko Glenview, Illinois, USA	USA	69,612 10.55%			
Cede & Co. Bowling Green Station New York, NY, USA	USA	191,617 29.03%			
James P. Schmidt Hicksville, Ohio, USA	USA	35,950 5.45%			

Empire Bancshares, Inc.  
Hicksville, Ohio  
December 31, 2022  
Form FR Y-6

**Report Item 4: Insiders**

(1)(2)(3)(a)(b)(c) and (4)(a)(b)©

(1) Name & Address (City, State, Country)	(2) Principal Occupation if other than with Holding Company	(3)(a) Title and Position with Holding Company	(3)(b) Title and Position with Subsidiaries (include names of Subsidiaries)	(3)(c) Title and 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 percentages of voting securities held)
Deborah Bagenstose New Albany, Ohio, USA	N/A	Director	N/A	None	10.85%	N/A	N/A
Nancy A. Elder Trepashko Glenview, Illinois, USA	N/A	N/A	N/A	None	10.55%	N/A	N/A
James P. Schmidt Hicksville, Ohio, USA	Auto Dealer	Director/Chairman	Director/Chairman	President & Owner Jim Schmidt Family of Dealerships	5.45%	None	100% Jim Schmidt Family of Dealerships
Stanley J. Yoder Defiance, Ohio, USA	Retired Attorney	Director	Director	None	1.11%	None	None
Joel R. Nester Bryan, Ohio, USA	Agricultural Consultant	Director/Vice Chairman	Director/Vice Chairman	Owner of Nester Ag, LLC	0.39%	None	51% Nester Ag, LLC
Mitchell D. Slattery Edon, Ohio, USA	Retired Fuel Supplier	Director	Director	None	0.34%	None	None
Dennis M. Vetter Hicksville, Ohio, USA	Business Owner	Director	Director	President of Arc Solutions, Inc.	1.00%	None	51% Arc Solutions, Inc.

Empire Bancshares, Inc.  
Hicksville, Ohio  
December 31, 2022  
Form FR Y-6

**Report Item 4: Insiders**

(1)(2)(3)(a)(b)(c) and (4)(a)(b)©

(1) Name & Address (City, State, Country)	(2) Principal Occupation if other than with Holding Company	(3)(a) Title and Position with Holding Company	(3)(b) Title and Position with Subsidiaries (include names of Subsidiaries)	(3)(c) Title and 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 percentages of voting securities held)
Ray M. Mendenhall New Haven, Indiana, USA	Sales Management	Director	Director	Sales Manager at Redline Equipment	0.68%	None	100% State Line Farms LLC 50% Mendenhall Family Farms LLC
Gina R. Wolfrum Hicksville, Ohio, USA	Artist	Director	Director	Creative Director/Owner of Elegant Finishes dba Gina Wolfrum Art Studio, LLC	0.09%	None	50% Cardinal Creek Farm & Seed LLC 100% Elegant Finishes
Greg Smitley Fort Wayne, Indiana, USA	N/A	Director, President & CEO	Director, President & CEO	None	0.16%	None	None
Mindy Bobay Hicksville, Ohio, USA	N/A	Treasurer	Chief Financial Officer	None	0.02%	None	None
Tina Fogle Hicksville, Ohio, USA	N/A	Corporate Secretary	Assistant Controller	None	0.00%	None	None
CEDE & Co Bowling Green Station New York, NY, USA	N/A	N/A	N/A	None	29.03%	N/A	N/A