

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):
March 19, 2024

Month / Day / Year

Reporter's Name, Street, and Mailing Address

Hocking Valley BancShares, Inc.

Legal Title of Holding Company

7 W Stimson Avenue

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

Athens

OH

45701

City

State

Zip Code

Physical Location (if different from mailing address)

Person to whom questions about this report should be directed:

Anna Montle

AVP

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

I, Tammy Bobo

Name of the Holding Company Director and Official

President

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.

Tammy Bobo

Signature of Holding Company Director and Official

March 19, 2024

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 **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."

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.

Hocking Valley BancShares, Inc.
FR Y-6 – **Public section**
as of December 31, 2023

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 3: Shareholders

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

(c) is listed as holding 274,365 of the 1,243,290 outstanding common stock shares (22%). The stock is held for various brokerage houses the largest of which we believe to be Kestra, Wells Fargo, Edward Jones and Raymond James. To our knowledge, Edward Jones, Kestra, and Raymond James have 23 accounts with 77,691 shares with no one client holding more than 17,835 shares. We do not have knowledge of the beneficial owners of the remaining 196,674 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.

*Refer to confidential volume for additional shareholders.

(ci) None.

Report Item 4: Directors and Officers

- (1) **Depository Trust Company**
New York, NY USA
- (2) N/A
- (3) N/A
- (4) This trust company is listed as holding 270,750 shares giving the company (22%) of the common stock of Hocking Valley BancShares, Inc.

- (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) **Dr. Ben Holter**
Athens, OH USA
- (2) Dr. Holter is the co-owner of Shrivvers Pharmacy and Wellness in Athens, Nelsonville, and Belpre Ohio.
- (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) **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. Vice Chair 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) **Aaron Thomas**
Athens, OH USA
- (2) Mr. Thomas is the owner of A Roc Entertainment LTD.
- (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) **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 of the holding company and The Hocking Valley Bank.

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

- (1) **Tammy Bobo**
Albany, OH USA
- (2) N/A.
- (3) (a&b) Member of the Board of Directors of the holding company and The Hocking Valley Bank. President and Chief Executive Officer of the holding company and The Hocking Valley 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)

- (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) **Rob Haley**
Columbus, 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 of the bank.

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