

## SEC Rule 15c2-11 Information as of September 30, 2021

In accordance with SEC Rule 15c2-11, Tri City National Bankshares Corporation discloses the following information:

- A. Name: Tri City Bankshares Corporation
- B. Address of principal executive office and principal place of business: 6400 South 27<sup>th</sup> Street  
Oak Creek, WI 53154
- C. State of Incorporation: Wisconsin
- D. Stock: Common Stock, \$1.00 par value
- E. Stock Symbol: TRCY
- F. Number of shares outstanding as of September 30, 2021: 8,904,915
- G. Transfer Agent Name and Address: American Stock Transfer & Trust Company  
6201 15<sup>th</sup> Avenue  
Brooklyn, NY 11219
- H. Business Description: Bank holding company, whose wholly owned subsidiary is Tri City National Bank, a Nationally Chartered Commercial Bank
- I. Service Description: Tri City National Bank provides a full range of consumer and commercial banking services to individuals and businesses.
- J. Description of facilities: Thirty (30) branch offices (eighteen (18) free standing and twelve (12) in grocery store locations), located in four (4) counties in Southeast Wisconsin
- K. Company Insiders<sup>1</sup>: Shareholders beneficially owning more than Ten Percent (10.0%)  
Ulrich Voting Trust<sup>2</sup>

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<sup>1</sup> In addition to its own Insiders, the Corporation is also disclosing employees of Tri City National Bank, its wholly owned subsidiary, which the Corporation would also deem as Insiders. All directors serve in that capacity for both the Corporation and Tri City National Bank.

<sup>2</sup> The three trustees of the Ulrich Voting Trust are David A. Ulrich, Jr. (a director of the Corporation), Kathleen L. McGarry (who is the spouse of Brian T. McGarry, the Chairman, President and Chief Executive Officer of the Corporation) and Thomas G. Ulrich, Sr. The three Trustees, acting by majority action, have the authority to vote such shares in their discretion.

Independent Directors

Frank J. Bauer: Director  
Ronald G. Braier: Director  
Sanford Fedderly: Director  
Rebecca L. Ferguson: Director  
Scott D. Gerardin, Director  
William Gravitter: Director  
Michael J. Miller: Director  
Robert W. Orth: Director  
David A. Ulrich, Jr.: Director  
Thomas G. Ulrich Jr.: Director

Officer Directors

William N. Beres: Director, Secretary, Senior Vice President, and Chief Financial Officer of the Corporation and Tri City National Bank  
Craig C. Dedrick: Director, Executive Vice President of the Corporation and President of Tri City National Bank  
Brian T. McGarry: Director, Chairman of the Board, and Chief Executive Officer, and President of the Corporation

Tri City National Bank Insiders

Kevin Burns: Senior Vice President and Senior Commercial Lending Officer  
Bryan J. Johnsen: Vice President of Finance  
Colleen A. McGarry: Senior Vice President and Executive Management Team  
Lakshmy V. Nair: Executive Vice President and Executive Management Team  
Barbara Peryer: Senior Vice President of Compliance and Chief Operations Officer  
Robert Prange: Senior Vice President and Chief Information Officer  
Robert J. Riegelman: General Counsel

- L. Most recent financial information: [See Investor Relations home page – Annual Reports  
Investor Relations | Tri City National Bank \(tcnb.com\)](#)
- M. Past financial information: [See Investor Relations home page – Annual Reports  
Investor Relations | Tri City National Bank \(tcnb.com\)](#)