

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):

12/31/2020
 Month / Day / Year

N/A

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

Reporter's Name, Street, and Mailing Address

SWNB Bancorp, Inc.

Legal Title of Holding Company

6901 Corporate Dr.

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

Houston Texas 77036
 City State Zip Code

Physical Location (if different from mailing address)

Person to whom questions about this report should be directed:

Betsy Reese Chief Financial Officer
 Name Title

713-272-5061
 Area Code / Phone Number / Extension

713-272-5098
 Area Code / FAX Number

betsy.reese@swnbk.com
 E-mail Address

N/A

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

I, Mark A. Simmons

Name of the Holding Company Director and Official

Chief Executive Officer

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.

[Signature]
 Signature of Holding Company Director and Official

3/22/2021

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? 0=No 1=Yes 0

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."

For Use By Tiered Holding Companies

Top-tiered holding companies must list the names, mailing address, and physical locations of each of their subsidiary holding companies below.

Legal Title of Subsidiary Holding Company

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

City State Zip Code

Physical Location (if different from mailing address)

Legal Title of Subsidiary Holding Company

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

City State Zip Code

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Legal Title of Subsidiary Holding Company

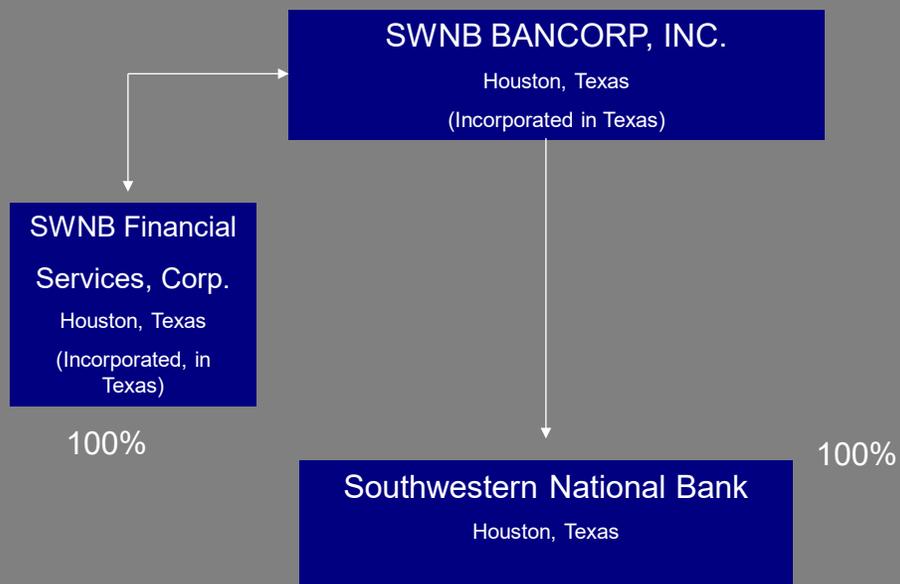
(Mailing Address of the Subsidiary Holding Company) Street / P.O. Box

City State Zip Code

Physical Location (if different from mailing address)

2a Organizational Chart

Form FRY-6
SWNB Bancorp, Inc.
Houston, Texas
Fiscal Year Ending December 31, 2020



SWNB Nevada Corporation was merged on 6/8/10.
Nevada National Bank sold assets and deposits on 6/17/13.
No entity has a LEI number

Form FR Y-6
SWNB Bancorp, Inc.
Fiscal Year Ending 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 of percentage of Each Class of Voting Securities	(2)(a) Names & Address (City, State, Country)	(2)(b) Country of Citizenship or Incorporation	(2)(c) Number of percentage of Each Class of Voting Securities
Ho, Thu-Binh Si Houston, Texas, USA	USA	949,690 shares – 5.19% Common Stock	N/A	N/A	N/A
Lee, Chao Kuan Houston, Texas, USA	USA	962,931 shares – 5.26% Common Stock	N/A	N/A	N/A
Lee, Chen-Horng or Chin Li Chen New Orleans, Louisiana, USA	USA	1,473,341 shares – 8.05% Common Stock	N/A	N/A	N/A
Lee, Jody S. Houston, Texas, USA	USA	1,049,683 shares – 5.73% Common Stock	N/A	N/A	N/A

SWNB Bancorp, Inc.
Fiscal Year Ending December 31, 2020

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 Bank Holding Company	(3)(b) Title & Position with Subsidiaries (Include names of subsidiaries)	(3)(c) Title & Position with Other Businesses (Include names of other businesses)	(4)(a) Percentag e of Voting Shares in Bank 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)
Chang, Michael Houston, Texas, USA	<ul style="list-style-type: none"> • Physician 	Director	Director – Southwestern National Bank	<ul style="list-style-type: none"> • Southern Leaf, LLC – Director • Tyvan Medical Billing – Owner & Director • Stat Specialty Hospital – Director • Laredo Emergency Center – Directors • Synergy Medical Partners - Director 	1.29%	N/A	<ul style="list-style-type: none"> • Tyvan Medical Billing (50%) • Synergy Medical Partners (25%)
Chen, Doris Houston, Texas, USA	<ul style="list-style-type: none"> • CPA • Real Estate Investor 	Director & Secretary to the Board	Director & Vice Chairman - Southwestern National Bank.	<ul style="list-style-type: none"> • N/A 	2.99%	N/A	<ul style="list-style-type: none"> • N/A
Chen, Steve Plano, Texas, USA	<ul style="list-style-type: none"> • Real Estate Investor 	Director	Director – Southwestern National Bank	<ul style="list-style-type: none"> • C&S Trading, Inc. – President • Tenwington Investments – Managing partner • Sunstone Investments – Managing partner • Royaland Properties – Managing partner 	1.37%	N/A	<ul style="list-style-type: none"> • C&S Trading, Inc. – President (100%) • Tenwington Investments – Managing partner (50%) • Sunstone Investments – Managing partner (50%) • Royaland Properties – Managing partner (50%)

Glick, William Houston, Texas, USA	<ul style="list-style-type: none"> • Educator 	Director	Director – Southwestern National Bank	<ul style="list-style-type: none"> • N/A 	0.0011%	N/A	<ul style="list-style-type: none"> • N/A
Hong, Michael K.Y. Houston, Texas, USA	<ul style="list-style-type: none"> • Real Estate Investor 	Director	Director - Southwestern National Bank	<ul style="list-style-type: none"> • MHK Properties, Inc. Houston, Texas - President • Marlive Investments, Inc. – President • Hallmark Investment Corp. – President 	3.51%	N/A	<ul style="list-style-type: none"> • MHK Properties, Inc. (100%) • Marlive Investments, Inc. (100%) • Hallmark Investment Corp. (100%)
Hsieh, Ted K.C. Houston, Texas, USA	<ul style="list-style-type: none"> • Retired Real Estate Investor 	Director & the Board	Director - Southwestern National Bank	<ul style="list-style-type: none"> • N/A 	2.34%	N/A	<ul style="list-style-type: none"> • N/A
Huang, Winnie Houston, Texas, USA	<ul style="list-style-type: none"> • CPA 	Director	Director – Southwestern National Bank	<ul style="list-style-type: none"> • Lee, Huang & Associates - President 	0.22%	N/A	<ul style="list-style-type: none"> • Lee, Huang & Associates (50%)
Lee, Chao Kuan Houston, Texas, USA	<ul style="list-style-type: none"> • Real Estate Investor 	Director	Director & Sr. Chairman of the Board - Southwestern National Bank.	<ul style="list-style-type: none"> • Hobby Investment, LP – Partner • Royal Oaks Investment – President • CK Lee Partner, Ltd – President • CK Lee, LLC – President • Sanning L Cube, LLC – Partner 	5.26%	N/A	<ul style="list-style-type: none"> • Hobby Investment, LP – (25%) • Royal Oaks Investment - (100%) • CK Lee Partner, Ltd. (100%) • CK Lee, LLC (100%) • Sanning L Cube, LLC (33%)
Lee, Jody Houston, Texas, USA	<ul style="list-style-type: none"> • Physician 	Director & Chairman of the Board	Director and Chairman - Southwestern National Bank	<ul style="list-style-type: none"> • Galveston Coral, LLC – Managing Member • Harmonic Synergy, LLP – Managing Member • Tomahawk Ptn, Ltd – Managing Member • Branard Living, LLC – Managing Member • Connector Medical, PLLC – Managing Member • Yuan Enterprise, LLC – Managing Member • CHART Opportunities, 	5.73%	N/A	<ul style="list-style-type: none"> • Galveston Coral, LLC (50%) • Harmonic Synergy, LLP (48%) • Tomahawk Ptn, Ltd (42.5%) • Branard Living, LLC (50%) • Connector Medical, PLLC (50%) • Yuan Enterprise, LLC (49%) • CHART Opportunities, LLC (25%) • Bellaire Metro, LLC (25%)

				<ul style="list-style-type: none"> • LLC – Managing Member • Bellaire Metro, LLC – Managing Member 			
Malmgren, E.K. Houston, Texas, USA	<ul style="list-style-type: none"> • Retired Engineer 	Director	Director - Southwestern National Bank	N/A	1.81%	N/A	<ul style="list-style-type: none"> • N/A
Patel, Hasmukh Houston, Texas U.S.A.	<ul style="list-style-type: none"> • Hotel Owner 	Director	Director - Southwestern National Bank	<ul style="list-style-type: none"> • Prabhu Corporations - President • Sawan Investment Corp. – President • S.K. Lodging Group, Inc. – President • Shree Ram Inc. - President • Sharamee Lodging Group – President • 290 Northwest, Inc. – VP • Bainium LLC – Member 	1.85%	N/A	<ul style="list-style-type: none"> • Prabhu Corporations (100%) • Sawan Investment Corp. (100%) • S.K. Lodging Group, Inc. (100%) • Shree Ram Inc. (100%) • Sharamee Lodging Group (100%) • 290 Northwest, Inc. (50%) • Bainium LLC – Member (25%)
Lee, Chen-Horng New Orleans Louisiana, U.S.A.	<ul style="list-style-type: none"> • Investor 	Director	Director - Southwestern National Bank	<ul style="list-style-type: none"> • Delta Proficient Management LLC – President • CLCL Investment LP – V.P. • Alabama Reality, L.P. – President • LC Investment LLC - President 	8.05%	N/A	<ul style="list-style-type: none"> • Delta Proficient Management LLC (33%) • CLCL Investment L.P. (33%) • Alabama Reality, L.P. (33%) • LC Investment LLC (50%)
Simmons, Mark A. Houston, Texas U.S.A.	<ul style="list-style-type: none"> • Banker 	Director & CEO	CEO – Southwestern National Bank	<ul style="list-style-type: none"> • N/A 	0.0011%	N/A	<ul style="list-style-type: none"> • N/A
Sun, Chuanwen Katy, Texas U.S.A.	<ul style="list-style-type: none"> • N/A 	Director	Director – Southwestern National Bank	<ul style="list-style-type: none"> • N/A 	2.73%	N/A	<ul style="list-style-type: none"> • N/A

Ting, Joe Houston, Texas U.S.A.	<ul style="list-style-type: none"> Investor 	Director	Director – Southwestern National Bank	<ul style="list-style-type: none"> West Plaza Management – President Marina DeSol Holding – President 	3.17%	N/A	<ul style="list-style-type: none"> West Plaza Management – President (100%) Marina DeSol Holding – President (100%)
Younus, Mohammed Dallas, Texas U.S.A.	<ul style="list-style-type: none"> N/A 	Director & Market President	President - Southwestern National Bank	<ul style="list-style-type: none"> BM Capital Investment – Manager BM Capital Ventures, Inc. – President 	0.14%	N/A	<ul style="list-style-type: none"> BM Capital Investment – Manager (100%) BM Capital Ventures, Inc. – President (100%)
Reese, Betsy Katy, Texas U.S.A.	<ul style="list-style-type: none"> N/A 	Chief Financial Officer	Chief Financial Officer – Southwestern National Bank	N/A	0%	N/A	<ul style="list-style-type: none"> N/A
Kuo, Jack Houston, Texas U.S.A.	<ul style="list-style-type: none"> N/A 	Chief Credit Officer	Chief Credit Officer – Southwestern National Bank	<ul style="list-style-type: none"> Two Guys & Lady, Inc. – V.P. 	0%	N/A	<ul style="list-style-type: none"> Two Guys & Lady, Inc. – V.P. (27.5%)
Langston, Joy Houston, Texas U.S.A.	<ul style="list-style-type: none"> N/A 	Chief Operations Officer	Chief Operations Officer – Southwestern National Bank	N/A	0%	N/A	<ul style="list-style-type: none"> N/A
Khan, Shafiq Anaheim, California U.S.A.	<ul style="list-style-type: none"> N/A 	Executive Vice President	California Market President – Southwestern National Bank	N/A	0%	N/A	<ul style="list-style-type: none"> N/A

Results: A list of branches for your depository institution: **SOUTHWESTERN NATIONAL BANK (ID_RSSD: 2625724).**

This depository institution is held by **SWNB BANCORP, INC. (3234682)** of **HOUSTON, TX.**

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)	2625724	SOUTHWESTERN NATIONAL BANK	6901 CORPORATE DRIVE	HOUSTON	TX	77036	HARRIS	UNITED STATES	Not Required	Not Required	SOUTHWESTERN NATIONAL BANK	2625724	
OK		Full Service	3745414	AUSTIN BRANCH	11220 NORTH LAMAR BLVD., SUITE A100	AUSTIN	TX	78753	TRAVIS	UNITED STATES	Not Required	Not Required	SOUTHWESTERN NATIONAL BANK	2625724	
OK		Full Service	3540552	PLANO BRANCH	2304 COIT ROAD, SUITE 600	PLANO	TX	75075	COLLIN	UNITED STATES	Not Required	Not Required	SOUTHWESTERN NATIONAL BANK	2625724	
OK		Full Service	5213355	DALLAS REGIONAL OFFICE	500 N. CENTRAL EXPRESSWAY	RICHARDSON	TX	75080	DALLAS	UNITED STATES	Not Required	Not Required	SOUTHWESTERN NATIONAL BANK	2625724	
OK		Full Service	3540570	RICHARDSON BRANCH	1311 NORTH JUPITER ROAD	RICHARDSON	TX	75081	DALLAS	UNITED STATES	Not Required	Not Required	SOUTHWESTERN NATIONAL BANK	2625724	
OK		Full Service	3351646	SUGAR LAND BRANCH	3508 HIGHWAY 6	SUGAR LAND	TX	77478	FORT BEND	UNITED STATES	Not Required	Not Required	SOUTHWESTERN NATIONAL BANK	2625724	
ADD	11/19/2019	Full Service	5561038	ANAHEIM OFFICE	2951 WEST BALL ROAD UNIT 100	ANAHEIM	CA	92804	ORANGE	UNITED STATES	Not Required	Not Required	SOUTHWESTERN NATIONAL BANK	2625724	