

Federal Financial Institutions Examination Council



Consolidated Reports of Condition and Income for  
A Bank With Domestic Offices Only—FFIEC 041

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Report at the close of business September 30, 2013

This report is required by law: 12 U.S.C. Section 324 (State member banks); 12 U.S.C. Section 1817 (State nonmember banks); and 12 U.S.C. Section 161 (National banks); and 12 U.S.C. Section 1464 (Savings associations).

Unless the content indicates otherwise, the term "bank" in this report form refers to both banks and savings associations.

This report form is to be filed by banks with domestic offices only. Banks with foreign offices (as defined in the instructions) must file FFIEC 031.

NOTE: Each bank's board of directors and senior management are responsible for establishing and maintaining an effective system of internal control, including controls over the Reports of Condition and Income. The Reports of Condition and Income are to be prepared in accordance with Federal regulatory authority instructions. The Reports of Condition and Income must be signed by the Chief Financial Officer (CFO) of the reporting bank (or by the individual performing an equivalent function) and attested to by not less than two directors (trustees) for State nonmember banks and three directors for State member banks, National banks, and Savings associations.

report date have been prepared in conformance with the instructions issued by the appropriate Federal regulatory authority and are true and correct to the best of my knowledge and belief.

We, the undersigned directors (trustees), attest to the correctness of the Reports of Condition and Income (including the supporting schedules) for this report date and declare that the Reports of Condition and Income have been examined by us and to the best of our knowledge and belief have been prepared in conformance with the instructions issued by the appropriate Federal regulatory authority and are true and correct.

I, the undersigned CFO (or equivalent) of the named bank, attest that the Reports of Condition and Income (including the supporting schedules) for this

Signature of Chief Financial Officer (or Equivalent)

Director (Trustee)

Date of Signature

Director (Trustee)

Director (Trustee)

Submission of Reports

Each bank must file its Reports of Condition and Income (Call Report) data by either:

- (a) Using computer software to prepare its Call Report and then submitting the report data directly to the FFIEC's Central Data Repository (CDR), an Internet-based system for data collection (<https://cdr.ffiec.gov/cdr/>), or
- (b) Completing its Call Report in paper form and arranging with a software vendor or another party to convert the data into the electronic format that can be processed by the CDR. The software vendor or other party then must electronically submit the bank's data file to the CDR.

To fulfill the signature and attestation requirement for the Reports of Condition and Income for this report date, attach your bank's completed signature page (or a photocopy or a computer-generated version of this page) to the hard-copy record of the data file submitted to the CDR that your bank must place in its files.

The appearance of your bank's hard-copy record of the submitted data file need not match exactly the appearance of the FFIEC's sample report forms, but should show at least the caption of each Call Report item and the reported amount.

For technical assistance with submissions to the CDR, please contact the CDR Help Desk by telephone at (888) CDR-3111, by fax at (703) 774-3946, or by e-mail at [CDR.Help@ffiec.gov](mailto:CDR.Help@ffiec.gov).

Legacy Private Trust Company

Legal Title of Bank (RSSD 9017)

Neenah

City (RSSD 9130)

FDIC Certificate Number 57809  
(RSSD 9050)

WI

State Abbreviation (RSSD 9200)

54957-0649

Zip Code (RSSD 9220)

The estimated average burden associated with this information collection is 45.8 hours per respondent and is estimated to vary from 17 to 720 hours per response, depending on individual circumstances. Burden estimates include the time for reviewing instructions, gathering and maintaining data in the required form, and completing the information collection, but exclude the time for compiling and maintaining business records in the normal course of a respondent's activities. A Federal agency may not conduct or sponsor, and an organization (or a person) is not required to respond to a collection of information, unless it displays a currently valid OMB control number. Comments concerning the accuracy of this burden estimate and suggestions for reducing this burden should be directed to the Office of Information and Regulatory Affairs, Office of Management and Budget, Washington, DC 20503, and to one of the following: Secretary, Board of Governors of the Federal Reserve System, 20th and C Streets, NW, Washington, DC 20551; Legislative and Regulatory Analysis Division, Office of the Comptroller of the Currency, Washington, DC 20219; Assistant Executive Secretary, Federal Deposit Insurance Corporation, Washington, DC 20429.

## Contact Information for the Reports of Condition and Income

To facilitate communication between the Agencies and the bank concerning the Reports of Condition and Income, please provide contact information for (1) the Chief Financial Officer (or equivalent) of the bank signing the reports for this quarter and (2) the person at the bank—other than the Chief Financial Officer (or equivalent)—to whom questions about the reports should be directed. If the Chief Financial Officer (or equivalent) is the primary contact for questions about the reports, please provide contact information for another person at the bank who will serve as a secondary contact for communications between the Agencies and the bank concerning the Reports of Condition and Income. Enter 'none' for the contact's e-mail address or fax number if not available. Contact information for the Reports of Condition and Income is for the confidential use of the Agencies and will not be released to the public.

### Chief Financial Officer (or Equivalent) Signing the Reports

Michael B Mahlik

Name (TEXT C490)

President

Title (TEXT C491)

mmahlik@lptrust.com

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(920)967-5040

Area Code / Phone Number / Extension (TEXT C493)

(920)967-5079

Area Code / FAX Number (TEXT C494)

### Other Person to Whom Questions about the Reports Should be Directed

Barbara A Blashka

Name (TEXT C495)

Tax & Finance Officer

Title (TEXT C496)

bblashka@lptrust.com

E-mail Address (TEXT 4086)

(920)967-5054

Area Code / Phone Number / Extension (TEXT 8902)

(920)967-5079

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## Emergency Contact Information

This information is being requested so the Agencies can distribute critical, time sensitive information to emergency contacts at banks. Please provide primary contact information for a senior official of the bank who has decision-making authority. Also provide information for a secondary contact if available. Enter 'none' for the contact's e-mail address or fax number if not available. Emergency contact information is for the confidential use of the Agencies and will not be released to the public.

### Primary Contact

Michael B Mahlik

Name (TEXT C366)

President

Title (TEXT C367)

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### Secondary Contact

Joseph E McGrane

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Executive Vice President

Title (TEXT C372)

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E-mail Address (TEXT C373)

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(920)967-5079

Area Code / FAX Number (TEXT C375)

## USA PATRIOT Act Section 314(a) Anti-Money Laundering Contact Information

This information is being requested to identify points-of-contact who are in charge of your bank's USA PATRIOT Act Section 314(a) information requests. Bank personnel listed could be contacted by law enforcement officers or the Financial Crimes Enforcement Network (FinCEN) for additional information related to specific Section 314(a) search requests or other anti-terrorist financing and anti-money laundering matters. Communications sent by FinCEN to the bank for purposes other than Section 314(a) notifications will state the intended purpose and should be directed to the appropriate bank personnel for review. Any disclosure of customer records to law enforcement officers or FinCEN must be done in compliance with applicable law, including the Right to Financial Privacy Act (12 U.S.C. 3401 et seq.).

Please provide information for a primary and secondary contact. Information for a third and fourth contact may be provided at the bank's option. Enter "none" for the contact's e-mail address if not available. This contact information is for the confidential use of the Agencies, FinCEN, and law enforcement officers and will not be released to the public.

### Primary Contact

Michael B Mahlik

Name (TEXT C437)

President

Title (TEXT C438)

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E-mail Address (TEXT C439)

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### Secondary Contact

Joseph E McGrane

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Executive Vice President

Title (TEXT C443)

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E-mail Address (TEXT C444)

(920)967-5030

Area Code / Phone Number / Extension (TEXT C445)

### Third Contact

Name (TEXT C870)

Title (TEXT C871)

E-mail Address (TEXT C872)

Area Code / Phone Number / Extension (TEXT C873)

### Fourth Contact

Name (TEXT C875)

Title (TEXT C876)

E-mail Address (TEXT C877)

Area Code / Phone Number / Extension (TEXT C878)

# Consolidated Report of Income for the period January 1, 2013 - September 30, 2013

All Report of Income schedules are to be reported on a calendar year-to-date basis in thousands of dollars.

## Schedule RI—Income Statement

Dollar Amounts in Thousands

		Bil	Mil	Thou	
1. Interest income:					
a. Interest and fee income on loans:					
(1) Loans secured by real estate:					
(a) Loans secured by 1-4 family residential properties .....	RIAD4435		0		1.a.(1)(a)
(b) All other loans secured by real estate .....	RIAD4436		0		1.a.(1)(b)
(2) Commercial and industrial loans .....	RIAD4012		0		1.a.(2)
(3) Loans to individuals for household, family, and other personal expenditures:					
(a) Credit cards .....	RIADB485		0		1.a.(3)(a)
(b) Other (includes revolving credit plans other than credit cards, automobile loans, and other consumer loans) .....	RIADB486		0		1.a.(3)(b)
(4) Loans to foreign governments and official institutions .....	RIAD4056		0		1.a.(4)
(5) All other loans (1) .....	RIAD4058		0		1.a.(5)
(6) Total interest and fee income on loans (sum of items 1.a.(1)(a) through 1.a.(5)) .....	RIAD4010		0		1.a.(6)
b. Income from lease financing receivables .....	RIAD4065		0		1.b.
c. Interest income on balances due from depository institutions (2) .....	RIAD4115		0		1.c.
d. Interest and dividend income on securities:					
(1) U.S. Treasury securities and U.S. Government agency obligations (excluding mortgage-backed securities) .....	RIADB488		18		1.d.(1)
(2) Mortgage-backed securities .....	RIADB489		0		1.d.(2)
(3) All other securities (includes securities issued by states and political subdivisions in the U.S.) ....	RIAD4060		14		1.d.(3)
e. Interest income from trading assets .....	RIAD4069		0		1.e.
f. Interest income on federal funds sold and securities purchased under agreements to resell .....	RIAD4020		0		1.f.
g. Other interest income .....	RIAD4518		1		1.g.
h. Total interest income (sum of items 1.a.(6) through 1.g) .....	RIAD4107		33		1.h.
2. Interest expense:					
a. Interest on deposits:					
(1) Transaction accounts (interest-bearing demand deposits, NOW accounts, ATS accounts, and telephone and preauthorized transfer accounts) .....	RIAD4508		0		2.a.(1)
(2) Nontransaction accounts:					
(a) Savings deposits (includes MMDAs) .....	RIAD0093		0		2.a.(2)(a)
(b) Time deposits of \$100,000 or more .....	RIADA517		0		2.a.(2)(b)
(c) Time deposits of less than \$100,000 .....	RIADA518		0		2.a.(2)(c)
b. Expense of federal funds purchased and securities sold under agreements to repurchase .....	RIAD4180		0		2.b.
c. Interest on trading liabilities and other borrowed money .....	RIAD4185		0		2.c.

(1) Includes interest and fee income on "Loans to depository institutions and acceptances of other banks," "Loans to finance agricultural production and other loans to farmers," "Obligations (other than securities and leases) of states and political subdivisions in the U.S.," and "Loans to nondepository financial institutions and other loans."

(2) Includes interest income on time certificates of deposit not held for trading.

**Schedule RI—Continued**

Dollar Amounts in Thousands		Bil	Mil	Thou	
d. Interest on subordinated notes and debentures .....	RIAD4200			0	2.d.
e. Total interest expense (sum of items 2.a through 2.d) .....	RIAD4073			0	2.e.
3. Net interest income (item 1.h minus 2.e) .....	RIAD4074			33	3.
4. Provision for loan and lease losses .....	RIAD4230			0	4.
5. Noninterest income:					
a. Income from fiduciary activities <sup>(1)</sup> .....	RIAD4070			3,465	5.a.
b. Service charges on deposit accounts .....	RIAD4080			0	5.b.
c. Trading revenue <sup>(2)</sup> .....	RIADA220			0	5.c.
d.					
(1) Fees and commissions from securities brokerage .....	RIADC886			0	5.d.(1)
(2) Investment banking, advisory, and underwriting fees and commissions .....	RIADC888			0	5.d.(2)
(3) Fees and commissions from annuity sales .....	RIADC887			0	5.d.(3)
(4) Underwriting income from insurance and reinsurance activities .....	RIADC386			0	5.d.(4)
(5) Income from other insurance activities .....	RIADC387			0	5.d.(5)
e. Venture capital revenue .....	RIADB491			0	5.e.
f. Net servicing fees .....	RIADB492			0	5.f.
g. Net securitization income .....	RIADB493			0	5.g.
h. Not applicable					
i. Net gains (losses) on sales of loans and leases .....	RIAD5416			0	5.i.
j. Net gains (losses) on sales of other real estate owned .....	RIAD5415			0	5.j.
k. Net gains (losses) on sales of other assets (excluding securities) .....	RIADB496			0	5.k.
l. Other noninterest income <sup>(*)</sup> .....	RIADB497			13	5.l.
m. Total noninterest income (sum of items 5.a. through 5.l) .....	RIAD4079			3,478	5.m.
6.					
a. Realized gains (losses) on held-to-maturity securities .....	RIAD3521			0	6.a.
b. Realized gains (losses) on available-for-sale securities .....	RIAD3196			0	6.b.
7. Noninterest expense:					
a. Salaries and employee benefits .....	RIAD4135			1,796	7.a.
b. Expenses of premises and fixed assets (net of rental income) (excluding salaries and employee benefits and mortgage interest) .....	RIAD4217			173	7.b.
c.					
(1) Goodwill impairment losses .....	RIADC216			0	7.c.(1)
(2) Amortization expense and impairment losses for other intangible assets .....	RIADC232			0	7.c.(2)
d. Other noninterest expense <sup>(*)</sup> .....	RIAD4092			857	7.d.
e. Total noninterest expense (sum of items 7.a. through 7.d) .....	RIAD4093			2,826	7.e.
8. Income (loss) before income taxes and extraordinary items and other adjustments (item 3 plus or minus items 4, 5.m, 6.a, 6.b, and 7.e.) .....	RIAD4301			685	8.
9. Applicable income taxes (on item 8) .....	RIAD4302			276	9.
10. Income (loss) before extraordinary items and other adjustments (item 8 minus item 9) .....	RIAD4300			409	10.
11. Extraordinary items and other adjustments, net of income taxes <sup>(*)</sup> .....	RIAD4320			(6)	11.
12. Net income (loss) attributable to bank and noncontrolling (minority) interests (sum of items 10 and 11) .....	RIADG104			403	12.
13. LESS: Net income (loss) attributable to noncontrolling (minority) interests (if net income, report as a positive value; if net loss, report as a negative value) .....	RIADG103			0	13.
14. Net income (loss) attributable to bank (item 12 minus item 13) .....	RIAD4340			403	14.

(1) For banks required to complete Schedule RC-T, items 14 through 22, income from fiduciary activities reported in Schedule RI, item 5.a. must equal the amount reported in Schedule RC-T, item 22.

(2) For banks required to complete Schedule RI, Memorandum item 8, trading revenue reported in Schedule RI, item 5.c. must equal the sum of Memorandum items 8.a through 8.e.

(\*) Describe on Schedule RI-E - Explanations

# Schedule RI—Continued

## Memoranda

Dollar Amounts in Thousands

		Bil	Mil	Thou	
1. Interest expense incurred to carry tax-exempt securities, loans, and leases acquired after August 7, 1986, that is not deductible for federal income tax purposes .....	RIAD4513			0	M.1.
<i>Memorandum item 2 is to be completed by banks with \$1 billion or more in total assets. (1)</i>					
2. Income from the sale and servicing of mutual funds and annuities (included in Schedule RI, item 8) ..	RIAD8431			N/A	M.2.
3. Income on tax-exempt loans and leases to states and political subdivisions in the U.S. (included in Schedule RI, items 1.a and 1.b) .....	RIAD4313			0	M.3.
4. Income on tax-exempt securities issued by states and political subdivisions in the U.S. (included in Schedule RI, item 1.d.(3)) .....	RIAD4507			0	M.4.

		Number		
5. Number of full-time equivalent employees at end of current period (round to nearest whole #) .....	RIAD4150		22	M.5.

		Bil	Mil	Thou	
<i>Memorandum item 6 is to be completed by: (1)</i>					
• banks with \$300 million or more in total assets, and					
• banks with less than \$300 million in total assets that have loans to finance agricultural production and other loans to farmers (Schedule RC-C, part I, item 3) exceeding five percent of total loans.					
6. Interest and fee income on loans to finance agricultural production and other loans to farmers (included in Schedule RI, item 1.a.(5)) .....	RIAD4024			0	M.6.

		YYYYMMDD		
7. If the reporting bank has restated its balance sheet as a result of applying push down accounting this calendar year, report the date of the bank's acquisition (2) .....	RIAD9106			M.7.

		Bil	Mil	Thou	
8. Trading revenue (from cash instruments and derivative instruments) (sum of Memorandum items 8.a through 8.e must equal Schedule RI, item 5.c):					
<i>Memorandum items 8.a through 8.e are to be completed by banks that reported average trading assets (Schedule RC-K, item 7) of \$2 million or more for any quarter of the preceding calendar year.</i>					
a. Interest rate exposures .....	RIAD8757			N/A	M.8.a.
b. Foreign exchange exposures .....	RIAD8758			N/A	M.8.b.
c. Equity security and index exposures .....	RIAD8759			N/A	M.8.c.
d. Commodity and other exposures .....	RIAD8760			N/A	M.8.d.
e. Credit exposures .....	RIADF186			N/A	M.8.e.
<i>Memorandum items 8.f and 8.g are to be completed by banks with \$100 billion or more in total assets that are required to complete Schedule RI, Memorandum items 8.a through 8.e, above. (1)</i>					
f. Impact on trading revenue of changes in the creditworthiness of the bank's derivatives counterparties on the bank's derivative assets (included in Memorandum items 8.a through 8.e above) .....	RIADK090			N/A	M.8.f.
g. Impact on trading revenue of changes in the creditworthiness of the bank on the bank's derivative liabilities (included in Memorandum items 8.a through 8.e above) .....	RIADK094			N/A	M.8.g.
9. Net gains (losses) recognized in earnings on credit derivatives that economically hedge credit exposures held outside the trading account:					
a. Net gains (losses) on credit derivatives held for trading .....	RIADC889			0	M.9.a.
b. Net gains (losses) on credit derivatives held for purposes other than trading .....	RIADC890			0	M.9.b.
10. To be completed by banks with \$300 million or more in total assets: (1)					
Credit losses on derivatives (see instructions) .....	RIADA251			0	M.10.

## Schedule RI—Continued

### Memoranda—Continued

	Yes/No		
11. Does the reporting bank have a Subchapter S election in effect for federal income tax purposes for the current tax year? .....	RIADA530	NO	M.11.
<i>Memorandum item 12 is to be completed by banks that are required to complete Schedule RC-C, part I, Memorandum items 8.b and 8.c.</i>			
12. Noncash income from negative amortization on closed-end loans secured by 1-4 family residential properties (included in Schedule RI, item 1.a.(1)(a)) .....	RIADF228	N/A	M.12.
<i>Memorandum item 13 is to be completed by banks that have elected to account for assets and liabilities under a fair value option.</i>			
13. Net gains (losses) recognized in earnings on assets and liabilities that are reported at fair value under a fair value option:			
a. Net gains (losses) on assets .....	RIADF551	N/A	M.13.a.
(1) Estimated net gains (losses) on loans attributable to changes in instrument-specific credit risk ..	RIADF552	N/A	M.13.a.(1)
b. Net gains (losses) on liabilities .....	RIADF553	N/A	M.13.b.
(1) Estimated net gains (losses) on liabilities attributable to changes in instrument-specific credit risk .....	RIADF554	N/A	M.13.b.(1)
14. Other-than-temporary impairment losses on held-to-maturity and available-for-sale debt securities:			
a. Total other-than-temporary impairment losses .....	RIADJ319	0	M.14.a.
b. Portion of losses recognized in other comprehensive income (before income taxes) .....	RIADJ320	0	M.14.b.
c. Net impairment losses recognized in earnings (included in Schedule RI, items 6.a and 6.b) (Memorandum item 14.a minus Memorandum item 14.b) .....	RIADJ321	0	M.14.c.

(1) The asset size tests and the 5 percent of total loans test are generally based on the total assets and total loans reported on the June 30, 2012, Report of Condition.

(2) For example, a bank acquired on March 1, 2013, would report 20130301.





























































































































































