

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2017

Report Required by the Ethics
in Government Act of 1978
(5 U.S.C. app. §§ 101-111)

1. Person Reporting (last name, first, middle initial) Lenihan, Lisa P.	2. Court or Organization Western District of PA	3. Date of Report 12/06/2018
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Magistrate Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☒ Amended Report	6. Reporting Period 01/01/2017 to 12/31/2017
7. Chambers or Office Address US COURTHOUSE 700 GRANT ST. PITTSBURGH, PA 15219		
IMPORTANT NOTES: The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.		

I. POSITIONS. (Reporting individual only; see pp. 9-13 of filing instructions.)

☐ NONE (No reportable positions.)

	<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1.	BOARD MEMBER	UPMC HEALTH PLAN
2.	BOARD MEMBER	UPMC ALTOONA
3.	ADJUNCT FACULTY MEMBER	UNIVERSITY OF PITTSBURGH
4.		
5.		

II. AGREEMENTS. (Reporting individual only; see pp. 14-16 of filing instructions.)

☒ NONE (No reportable agreements.)

	<u>DATE</u>	<u>PARTIES AND TERMS</u>
1.		
2.		
3.		

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III. NON-INVESTMENT INCOME. *(Reporting individual and spouse; see pp. 17-24 of filing instructions.)***A. Filer's Non-Investment Income**☐ NONE *(No reportable non-investment income.)*

DATE	SOURCE AND TYPE	INCOME (yours, not spouse's)
1. 2017	UNIVERSITY OF PITTSBURGH - TEACHING INCOME	\$1,750.00
2.		
3.		
4.		

B. Spouse's Non-Investment Income - *If you were married during any portion of the reporting year, complete this section.**(Dollar amount not required except for honoraria.)*☒ NONE *(No reportable non-investment income.)*

DATE	SOURCE AND TYPE
1.	
2.	
3.	
4.	

IV. REIMBURSEMENTS *— transportation, lodging, food, entertainment.**(Includes those to spouse and dependent children; see pp. 25-27 of filing instructions.)*☐ NONE *(No reportable reimbursements.)*

SOURCE	DATES	LOCATION	PURPOSE	ITEMS PAID OR PROVIDED
1. NY INTELLECTUAL PROPERTY LAW ASSOC.	MARCH 31-APRIL 1, 2017	NEW YORK, NY	DINNER HONORING JUDICIARY	TRAVEL, FOOD, & LODGING
2. ALLEGHENY COUNTY BAR ASSN.	JUNE 15-17, 2017	CHAMPION, PA	BENCH/BAR CONFERENCE	TRAVEL, FOOD, & LODGING
3. INSTITUTE FOR THE ADVANCEMENT OF THE AMERICAN LEGAL SYSTEM	NOV. 8-10, 2017	COLORADO SPRINGS, CO	WORKING GROUP	TRAVEL, FOOD, & LODGING
4.				
5.				

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V. GIFTS. *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*NONE *(No reportable gifts.)*

<u>SOURCE</u>	<u>DESCRIPTION</u>	<u>VALUE</u>
1.		
2.		
3.		
4.		
5.		

VI. LIABILITIES. *(Includes those of spouse and dependent children; see pp. 32-33 of filing instructions.)*NONE *(No reportable liabilities.)*

<u>CREDITOR</u>	<u>DESCRIPTION</u>	<u>VALUE CODE</u>
1.		
2.		
3.		
4.		
5.		

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VII. INVESTMENTS and TRUSTS – income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
1. PNC BANK (CASH)	A	Interest	J	T					
2. VIRTUAL BANK (CASH)	A	Interest	L	T					
3. RIVERSOURCE UNIVERSAL LIFE INSURANCE POLICY		None	J	T					
4. IRA #1 (H)									
5. COMMONWEALTH FINANCIAL BANK DEPOSIT SWEEP (CASH)	A	Interest	L	T					
6. AK STEEL HOLDINGS CORP (AKS)		None			Buy	06/14/17	J		
7.					Sold (part)	08/09/17	J		
8.					Sold (part)	08/31/17	J		
9.					Sold (part)	10/31/17	J		
10.					Sold	11/02/17	J		
11. ANDERSONS INC (ANDE)		None			Buy	06/14/17	J		
12.					Sold	08/10/17	J		
13. NEWELL BRANDS INC COM (NWL)	A	Dividend			Buy	06/28/17	J		
14.					Sold	10/25/17	J		
15. PIMCO INCOME FUND CL A (PIMIX)	A	Dividend	K	T	Buy	09/05/17	K		
16.					Buy (add'l)	12/22/17	J		
17. ISHARES GNMA BOND ETF (GNMA)	A	Dividend	K	T	Sold (part)	09/07/17	J		

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000 J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000 K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000 L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000 M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

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	(1) Amount Code I (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)

18. ISHARES CORE S&P 500 ETF (IVV)	A	Dividend			Sold	05/30/17	M	E	
19. ISHARES RUSSELL 2000 ETF (IWM)	A	Dividend	J	T	Sold	03/14/17	L	D	
20.					Buy	06/22/17	K		
21.					Sold	10/18/17	K	B	
22.					Buy	11/13/17	K		
23.					Sold (part)	12/06/17	K	B	
24. ISHARES CORE US AGGREGATE BOND ETF (AGG)	A	Dividend	K	T	Sold (part)	09/07/17	J		
25. ISHARES TRANSPORTATION AVERAGE ETF (IYT)		None			Buy	11/13/17	K		
26.					Sold	12/06/17	L	C	
27. RYDEX ETF TRUST GUGGENHEIM S&P (XLU)	A	Dividend	K	T	Buy	10/31/17	L		
28.					Buy (add'l)	11/13/17	J		
29.					Sold (part)	12/19/17	K	B	
30. SELECT SECTOR SPDR TR CONSUMER (XLP)	A	Dividend			Buy	10/24/17	L		
31.					Sold	12/19/17	L	C	
32. SPDR SER TR BLOOMBERG BRC INV (FLRN)	A	Dividend	K	T	Buy	07/31/17	K		
33.					Buy (add'l)	12/22/17	K		
34. SECTOR SPDR TR SHS BEN INT INDUSTRIAL (XLI)	A	Dividend			Buy	06/14/17	L		

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)

35.					Sold (part)	08/09/17	L	A	
36.					Sold	11/13/17	J	A	
37. SECTOR SPDR TR SHS BEN INT UTILITES (XLU)	B	Dividend	L	T	Sold (part)	11/13/17	K	B	
38.					Buy (add'l)	12/06/17	K		
39.					Buy (add'l)	12/26/17	K		
40. SELECT SECTOR SPDR TR HEALTH CARE (XLV)	A	Dividend	L	T	Buy	03/17/17	L		
41.					Sold	08/15/17	L	B	
42.					Buy	10/27/17	K		
43.					Buy (add'l)	11/13/17	J		
44.					Buy (add'l)	12/14/17	K		
45. SELECT SECTOR SPDR TR SHS BEN INT TECHNOLOGY (XLK)	A	Dividend			Sold	05/23/17	L	D	
46. SELECT SECTOR SPDR TR SHS BEN INT ENERGY (XLE)	A	Dividend			Buy (add'l)	06/09/17	K		
47.					Sold	08/11/17	K		
48. SELELCT SECTOR SPDR TR SHS BEN INT MATERIALS (XLB)	A	Dividend	K	T	Sold	03/14/17	K	C	
49.					Buy	12/11/17	K		
50. SECTOR SPDR TR SHS BEN INT CONSUMER STAPLES (XLP)	A	Dividend	L	T	Buy	10/03/17	K		
51.					Sold	12/19/17	L	C	

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52.					Buy	12/28/17	K		
53. TWITTER INC COM (TWTR)		None			Buy	06/27/17	J		
54.					Sold (part)	08/09/17	J		
55.					Sold (part)	10/31/17	J	A	
56.					Sold	11/02/17	J	A	
57. VANGUARD SECTOR INDEX FDS FINLS VIPERS (VFH)	A	Dividend			Buy	03/16/17	L		
58.					Sold	05/23/17	K		
59. SPDR SERIES TRUST BLMBRG BRC CNV RT (CWB)	A	Dividend			Sold	07/27/17	K	B	
60. BROKERAGE ACCOUNT #1 (H)									
61. BANK DEPOSIT CASH SWEEP (QPRMQ) (Y)									
62. AMERIPRISE INSURED MONEY MARKET (CASH) (AIMMA)	A	Interest	J	T					
63. CALAMOS MARKET NEUTRAL INCOME CL I (CMNIX)	A	Dividend	J	T	Sold (part)	09/28/17	J	A	
64.					Sold (part)	12/22/17	J	A	
65. FIRST EAGLE FUNDS GLOBAL FUND CL I (SGHX)	A	Dividend	K	T	Buy (add'l)	12/22/17	J		
66. JP MORGAN VAL ADV SEL CL I (JVASX)	A	Dividend	K	T	Buy (add'l)	03/01/17	J		
67.					Buy (add'l)	09/28/17	J		
68.					Buy (add'l)	12/22/17	J		

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69. MFS INTL VALUE CL I (MINIX)	A	Dividend	K	T	Buy (add'l)	03/01/17	J		
70.					Buy (add'l)	09/28/17	J		
71.					Buy (add'l)	12/22/17	J		
72. NUVEEN PA MUN BD CL I (NBPAX)	A	Dividend	K	T	Buy (add'l)	03/01/17	J		
73. NUVEEN ALL AMER MUN BD CL I (FAARX)	A	Dividend	J	T	Buy (add'l)	03/01/17	J		
74.					Buy (add'l)	09/28/17	J		
75.					Buy (add'l)	12/22/17	J		
76. ALTRIA GROUP INC (MO)	A	Dividend	J	T					
77. EATON VANCE FUNDS: ACTIVE TAX MGD GLBL FUND (ETW)	B	Dividend	J	T	Sold (part)	09/28/17	J	A	
78.					Sold (part)	12/22/17	J	A	
79. ISHARES CORE US AGGREGATE BOND ETF (AGG)	A	Dividend	J	T	Sold (part)	09/28/17	J		
80.					Buy (add'l)	12/22/17	J		
81. ISHARES S&P 500 GROWTH ETF (IVW)	A	Dividend	K	T	Buy (add'l)	09/28/17	J		
82.					Buy (add'l)	12/22/17	J		
83. ISHARES CORE S&P MID CAP ETF (IJH)	A	Dividend	K	T	Buy (add'l)	03/01/17	J		
84.					Buy (add'l)	09/28/17	J		
85.					Buy (add'l)	12/22/17	J		

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86. ISHARES CORE S&P SMALL CAP ETF (IJR)	A	Dividend	K	T	Buy (add'l)	03/01/17	J		
87.					Buy (add'l)	12/22/17	J		
88. ISHARES EDGE MSCI MIN VOLATILITY ETF (USMV)	A	Dividend	K	T	Buy (add'l)	03/01/17	J		
89.					Buy (add'l)	12/22/17	J		
90. SPDR SERIES TRUST S&P DIVIDEND ETF (SDY)	A	Dividend	K	T	Buy (add'l)	03/01/17	J		
91.					Buy (add'l)	12/22/17	J		
92. SPDR BARCLAYS CAPITAL SHORT TERM MUNI BOND FUND (SHM)	A	Dividend	J	T	Sold (part)	03/01/17	J		
93.					Sold (part)	09/28/17	J		
94.					Buy (add'l)	12/22/17	J		
95. VANGUARD DIV APPRECIATION FUND (VIG)	A	Dividend	K	T	Sold (part)	03/01/17	J	B	
96.					Buy (add'l)	09/28/17	J		
97.					Buy (add'l)	12/22/17	J		
98. VANGUARD REIT INDEX ETF (VNQ)	A	Dividend	J	T	Buy (add'l)	12/22/17	J		
99. FIDELITY ADVISOR NEW INSIGHTS FUND CL A (FNICX)	A	Dividend			Sold	11/28/17	J	C	
100. PIONEER FUNDEMENTAL GROWTH FUND CL C (FUNCX)	A	Dividend			Sold	11/28/17	J	B	
101. THORNBURG INVEST INCOME BUILDER FUND CL C (TIBCX)	A	Dividend			Sold	11/28/17	K	B	
102. THORNBURG LTD MUNI FUND CL I (LTMIX)	A	Interest			Buy (add'l)	03/01/17	J		

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103.					Sold (part)	09/28/17	J	A	
104.					Sold	12/22/17	J	A	
105. ALPS ALERIAN MLP ETF (AMLP)	A	Dividend			Buy (add'l)	03/01/17	J		
106.					Sold	09/28/17	J		

1. Income Gain Codes: (See Columns B1 and D4)	A ~\$1,000 or less F ~\$50,001 - \$100,000	B ~\$1,001 - \$2,500 G ~\$100,001 - \$1,000,000	C ~\$2,501 - \$5,000 H1 ~\$1,000,001 - \$5,000,000	D ~\$5,001 - \$15,000 H2 ~More than \$5,000,000	E ~\$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J ~\$15,000 or less N ~\$250,001 - \$500,000 P3 ~\$25,000,001 - \$50,000,000	K ~\$15,001 - \$50,000 O ~\$500,001 - \$1,000,000	L ~\$50,001 - \$100,000 P1 ~\$1,000,001 - \$5,000,000 P4 ~More than \$50,000,000	M ~\$100,001 - \$250,000 P2 ~\$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Lenihan, Lisa P.

Date of Report

12/06/2018

VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

Part VII, lines 61, 63, 65, 66, 69, 72, and 73; Name changes; see 2016, lines 69, 86, 81, 83, 84, 89, and 96, respectively.

Part VII: Brokerage accounts #1 and #2 were merged in this reporting cycle.

Part VII, Column B: Lines reflecting no income are so reported because none was attributed to those particular holdings during the reporting period, whether taxable, tax exempt, or tax deferred, or because the investments do not allocate income to individual holdings, but instead are credited only in unit value, per page 42 of the filing instructions.

FINANCIAL DISCLOSURE REPORT

Page 12 of 12

Name of Person Reporting

Lenihan, Lisa P.

Date of Report

12/06/2018

IX. CERTIFICATION.

I certify that all information given above (including information pertaining to my spouse and minor or dependent children, if any) is accurate, true, and complete to the best of my knowledge and belief, and that any information not reported was withheld because it met applicable statutory provisions permitting non-disclosure.

I further certify that earned income from outside employment and honoraria and the acceptance of gifts which have been reported are in compliance with the provisions of 5 U.S.C. app. § 501 et. seq., 5 U.S.C. § 7353, and Judicial Conference regulations.

Signature: s/ **Lisa P. Lenihan**

NOTE: ANY INDIVIDUAL WHO KNOWINGLY AND WILLFULLY FALSIFIES OR FAILS TO FILE THIS REPORT MAY BE SUBJECT TO CIVIL AND CRIMINAL SANCTIONS (5 U.S.C. app. § 104)

Committee on Financial Disclosure
Administrative Office of the United States Courts
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544