

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2018

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 04/24/2019
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Magistrate Judge (FT)	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2018 to 12/31/2018
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.		

FINANCIAL DISCLOSURE REPORT

Page 2 of 13

Name of Person Reporting

Lenihan, Lisa P.

Date of Report

04/24/2019

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. 2018	UNIVERSITY OF PITTSBURGH - TEACHING INCOME	\$1,750.00
2. 12/12/2018	Caroselli, Beachler and Coleman - Referral Fee	\$8,311.00
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. ALLEGHENY COUNTY BAR ASSN.	JUNE 13-15, 2018	CHAMPION, PA	BENCH/BAR CONFERENCE	TRAVEL, FOOD, & LODGING
2. ACADEMY OF TRIAL LAWYERS	OCTOBER 3-5, 2018	FARMINGTON, PA	CONFERENCE	TRAVEL, FOOD, & LODGING
3.				
4.				
5.				

FINANCIAL DISCLOSURE REPORT

Page 3 of 13

Name of Person Reporting

Lenihan, Lisa P.

Date of Report

04/24/2019

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.			

FINANCIAL DISCLOSURE REPORT

Page 4 of 13

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Lenihan, Lisa P.

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04/24/2019

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	J	T					
3. FIRST NATIONAL BANK (CASH)	A	Interest	L	T	Open	11/16/18	L		
4. RIVERSOURCE UNIVERSAL LIFE INSURANCE POLICY	A	Interest	K	T					
5. IRA #1 (H)									
6. COMMONWEALTH FINANCIAL BANK DEPOSIT SWEEP (CASH)	A	Interest			Closed	08/06/18	N		
7. DREYFUS GOVT CASH MGMT (CASH)	A	Dividend	J	T	Open	08/06/18	N		
8. BLACKSTONE ALT MULTI STRATEGY CL D (BXMDX)	A	Dividend	K	T	Buy	08/09/18	J		
9.					Buy (add'l)	11/16/18	J		
10. COLUMBIA ALTERNATIVE BETA INSTL CL (CLAZX)		None			Buy	08/08/18	J		
11.					Sold	11/15/18	J		
12. MULTI MANAGER VALUE STRATEGIES CL Z (CZMVX)	C	Dividend	L	T	Buy	08/08/18	L		
13.					Sold (part)	08/15/18	J		
14.					Sold (part)	11/15/18	J		
15. MULTI MANAGER TOTAL RETURN BOND STRATEGIES CL Z (CTRZX)	A	Dividend	K	T	Buy	08/08/18	K		
16.					Sold (part)	11/15/18	J		
17. MULTI MANAGER SMALL CAP EQUITY STRATEGIES CL Z (CZMSX)	C	Dividend	K	T	Buy	08/08/18	K		

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 H = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 I = More than \$5,000,000	E = \$15,001 - \$50,000 J = \$50,001 - \$100,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$250,000.01 - \$500,000.00	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	P1 = \$1,000,001 - \$5,000,000 P4 = More than \$5,000,000	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

Page 5 of 13

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18.					Buy (add'l)	08/15/18	J		
19.					Buy (add'l)	11/15/18	J		
20. MULTI MANAGER GROWTH STRATEGIES CL Z (CZMGX)	C	Dividend	K	T	Buy	08/08/18	L		
21.					Sold (part)	08/15/18	J		
22. MULTI MANAGER DIRECTIONAL ALTERNATIVE STRAT Z (CDAZX)	D	Dividend	K	T	Buy	08/08/18	K		
23. MULTI MANAGER ALTERNATIVE STRATEGIES CL Z (CZAMX)	A	Dividend	K	T	Buy	08/08/18	K		
24.					Sold (part)	11/15/18	J		
25. MULTI MANAGER INTL EQUITY STRATEGIES INSTL CL (CMIEX)	A	Dividend	K	T	Buy	08/08/18	K		
26.					Buy (add'l)	08/15/18	J		
27. DELAWARE U S GROWTH INSTL CL (DEUIX)	C	Dividend	K	T	Buy	08/08/18	K		
28.					Sold (part)	08/15/18	J		
29.					Sold (part)	11/15/18	J		
30. MFS INTL VALUE CL I (MINIX)	A	Dividend	K	T	Buy	08/08/18	K		
31.					Sold (part)	08/15/18	J		
32. MFS VALUE CL I (MEIIX)	A	Dividend	K	T	Buy	08/08/18	K		
33. PGIM JENNISON MID CAP GROWTH CL Z (PEGZX)	C	Dividend	K	T	Buy	08/08/18	K		
34. WELLS FARGO EMERGING MARKETS EQUITY INSTL CL (EMGNX)	A	Dividend	K	T	Buy	08/08/18	K		

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FINANCIAL DISCLOSURE REPORT

Page 6 of 13

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35.					Buy (add'l)	08/15/18	J		
36. WELLS FARGO SPECIAL MID CAP VALUE INSTL CL (WFMIX)	A	Dividend	K	T	Buy	08/08/18	K		
37. ISHARES CORE MSCI EMERGING MARKETS ETF (IEMG)	A	Dividend	J	T	Buy	08/08/18	J		
38.					Buy (add'l)	11/15/18	J		
39. PIMCO INCOME FUND CL A (PIMIX)	A	Dividend			Sold (part)	02/13/18	J		
40.					Sold	08/07/18	J		
41. ALPS ETF TR ALERIAN MLP ETF (AMLP)		None			Buy	01/05/18	K		
42.					Sold	02/07/18	K		
43. ISHARES CORE S&P 500 ETF (IVV)	A	Dividend			Buy	05/03/18	M		
44.					Sold	06/15/18	M	D	
45.					Buy	06/27/18	M		
46.					Sold	07/17/18	M	C	
47. ISHARES RUSSELL 2000 ETF (IWM)	A	Dividend			Sold	02/07/18	J	A	
48.					Buy	02/14/18	K		
49.					Sold	02/23/18	K	B	
50.					Buy	05/03/18	K		
51.					Buy (add'l)	07/05/18	J		

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FINANCIAL DISCLOSURE REPORT

Page 7 of 13

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52.					Sold	07/16/18	L	C	
53. ISHARES TRANSPORTATION AVG (IYT)		None			Buy	02/13/18	K		
54.					Sold	02/23/18	K	A	
55.					Buy	04/24/18	K		
56.					Sold	04/25/18	K		
57. PROSHARES TR II SHORT VIX SHORT TRM FUT (SVXY)		None			Buy	02/01/18	K		
58.					Sold (part)	02/05/18	K	B	
59.					Buy (add'l)	02/06/18	K		
60.					Buy (add'l)	02/13/18	K		
61.					Sold	02/26/18	K		
62. RYDEX ETF TRUST GUGGENHEIM S&P 500 EQ WT (RSP)		None			Buy (add'l)	02/06/18	J		
63.					Buy (add'l)	02/13/18	K		
64.					Sold	03/01/18	L	C	
65. SECTOR SPDR TR SHS BEN INT CONSUMER STAPLES (XLP)		None			Sold	02/13/18	L		
66.					Buy	06/26/18	L		
67.					Sold	08/07/18	L		
68. SELECT SECTOR SPDR TR SHS BEN INT FINANCIAL (XLF)	A	Dividend			Buy	02/13/18	L		

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FINANCIAL DISCLOSURE REPORT

Page 8 of 13

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Lenihan, Lisa P.

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69.					Sold	03/28/18	L	A	
70.					Buy	05/03/18	L		
71.					Sold	06/26/18	L		
72. SECTOR SPDR TR SHS BEN INT TECH (XLK)	A	Dividend			Buy	05/03/18	L		
73.					Sold	07/17/18	L	D	
74. SELECT SECTOR SPDR TR ENERGY (XLE)		None			Buy	05/03/18	L		
75.					Sold	06/15/18	L	C	
76. ISHARES CORE US AGGREGATE BOND ETF (AGG)	A	Dividend			Sold (part)	02/13/18	J		
77.					Sold (part)	02/14/18	J		
78.					Sold	08/07/18	J		
79. SELECT SECT SPDR TR CONS DISC (XLY)		None			Buy	02/13/18	K		
80.					Sold	03/14/18	K	B	
81. SECTOR SPDR TR SHS BEN INT UTILITES (XLU)	A	Dividend			Sold (part)	02/06/18	K		
82.					Sold	02/07/18	L		
83.					Buy	03/14/18	K		
84.					Sold	05/03/18	K	B	
85. SELECT SECTOR SPDR TR HEALTH CARE (XLV)		None			Sold (part)	02/13/18	K		

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FINANCIAL DISCLOSURE REPORT

Page 9 of 13

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86.					Sold	03/02/18	K	A	
87.					Buy	06/26/18	L		
88.					Sold	07/23/18	L	B	
89. SELECT SECTOR SPDR TR SHS BEN INT MATERIALS (XLB)	A	Dividend			Sold (part)	02/13/18	J		
90.					Sold	03/23/18	K		
91. ISHARES TR CORE MSCI EAFE (IEFA)		None			Buy	02/14/18	L		
92.					Sold	03/01/18	L	B	
93. ISHARES GNMA BOND ETF (GNMA)	A	Dividend			Sold	02/13/18	K	A	
94. SPDR SER TR BLOOMBERG BRC INV (FLRN)	A	Dividend			Sold (part)	02/13/18	K	A	
95.					Sold	02/14/18	J	A	
96.					Buy	03/02/18	J		
97.					Sold (part)	05/03/18	J	A	
98.					Sold	08/07/18	J		
99. VANECK VECTORS TR FALLEN ANGEL (ANGL)	A	Dividend			Buy	02/14/18	J		
100.					Sold	08/07/18	J		
101. SPDR SER TR BLMBRG BRC CONVRT (CWB)	A	Dividend			Buy	02/13/18	K		
102.					Sold (part)	03/02/18	J	A	

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FINANCIAL DISCLOSURE REPORT

Page 10 of 13

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103.					Buy (add'l)	03/13/18	J		
104.					Sold	03/21/18	K	A	
105.					Buy	04/16/18	K		
106.					Sold	08/07/18	K		
107. BROKERAGE ACCOUNT #1 (H)									
108. AMERIPRISE INSURED MONEY MARKET (CASH) (AIMMA)	A	Interest	J	T					
109. CALAMOS MARKET NEUTRAL INCOME CL I (CMNIX)	A	Dividend	J	T					
110. FIRST EAGLE FUNDS GLOBAL FUND CL I (SGHIX)	B	Dividend	K	T					
111. JP MORGAN VAL ADV SEL CL I (JVASX)	B	Dividend	K	T					
112. MFS INTL VALUE CL I (MINIX)	B	Dividend	K	T					
113. NUVEEN PA MUN BD CL I (NBPAX)	A	Dividend	K	T					
114. NUVEEN ALL AMER MUN BD CL I (FAARX)	A	Dividend	K	T					
115. THORNBURG LTD TERM MUN CL I (LTMIX) (X)	A	Dividend	J	T					
116. ALTRIA GROUP INC (MO)	A	Dividend	J	T					
117. EATON VANCE FUNDS: ACTIVE TAX MGD GLBL FUND (ETW)	A	Dividend	J	T					
118. ISHARES CORE US AGGREGATE BOND ETF (AGG)	A	Dividend	J	T					
119. ISHARES S&P 500 GROWTH ETF (IVW)	A	Dividend	K	T	Sold (part)	10/17/18	J	A	

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

Page 11 of 13

Name of Person Reporting

Lenihan, Lisa P.

Date of Report

04/24/2019

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)
120. ISHARES CORE S&P MID CAP ETF (IJH)	A	Dividend	J	T					
121. ISHARES CORE S&P SMALL CAP ETF (IJR)	A	Dividend	J	T					
122. ISHARES EDGE MSCI MIN VOLATILITY ETF (USMV)	A	Dividend	K	T					
123. SPDR SERIES TRUST S&P DIVIDEND ETF (SDY)	A	Dividend	K	T					
124. SPDR BARCLAYS CAPITAL SHORT TERM MUNI BOND FUND (SHM)	A	Dividend	J	T					
125. VANGUARD DIV APPRECIATION FUND (VIG)	A	Dividend	K	T	Sold (part)	10/17/18	J	A	
126. VANGUARD REIT INDEX ETF (VNQ)	A	Dividend	J	T					

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 \$5,000,000	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

Page 12 of 13

Name of Person Reporting	Date of Report
Lenihan, Lisa P.	04/24/2019

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

Part III A.: Referral fee related to my private law practice prior to taking the bench.

Part VII, line 62: Name change; see 2017, line 27.

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 13 of 13

Name of Person Reporting

Lenihan, Lisa P.

Date of Report

04/24/2019

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
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Washington, D.C. 20544