

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2016

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 05/12/2017
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 01/01/2016 to 12/31/2016
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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1. 2016	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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
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.)*

	<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1.	NY INTELLECTUAL PROPERTY LAW ASSOC.	APRIL 1-2, 2016	NEW YORK, NY	DINNER HONORING JUDICIARY	TRAVEL, FOOD, & LODGING
2.	ALLEGHENY COUNTY BAR ASSN.	JUNE 16-18, 2016	CHAMPION, PA	BENCH/BAR CONFERENCE	TRAVEL, FOOD, & LODGING
3.					
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.)*SOURCEDESCRIPTIONVALUE

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.)*CREDITORDESCRIPTIONVALUE CODE

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. 4 NORTSHORE ASSOCIATES	F	Distribution			Sold	07/29/16	O	G	
2. IRA #1 (H)									
3. AMERICAN MONEY MARKET CLASS F1 (CASH)		None			Closed	02/18/16	J		
4. OPPENHEIMER MONEY MARKET CLASS A (CASH)	A	Interest			Closed	01/20/16	K		
5. COMMONWEALTH FINANCIAL BANK DEPOSIT SWEEP (CASH)	A	Interest	J	T					
6. ALLIANZGI GLOBAL WATER FUND CL A		None			Sold	05/05/16	J		
7. ALLIANZGI HEALTH SCIENCES CL A		None			Sold	01/27/16	K		
8. COPELAND RISK MGMT DIV GROWTH CL A		None			Sold	01/28/16	K	B	
9. FIDELITY ADVISOR CONSUMER STAPLES CL I		None			Sold	01/26/16	L		
10. FRANKLIN CONVERTIBLE SECURITIES		None			Sold	02/04/16	J		
11. MAINSTAY US EQUITY OPPORTUNITES CL A		None			Sold	01/06/16	K		
12. PIMCO EQS LONG/SHORT CL D		None			Sold	02/16/16	K		
13. PIMCO RAE FUNDEMENTAL PLUS FUND A		None			Buy (add'l)	01/22/16	K		
14.					Sold	02/10/16	K	B	
15. PIMCO RAE FUNDAMENTAL SMALL PLUS A		None			Sold	02/10/16	K	B	
16. FRANKLIN ADJUSTABLE US GOVT CL A	A	Dividend			Sold	02/02/16	K		
17. FRANKLIN FLOATING RATE DAILY ACCESS CL A	A	Dividend			Sold	01/12/16	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 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	

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18. FRANKLIN US GOVT CL A		None			Sold	01/12/16	J		
19. MAINSTAY UNCONSTRND BOND OPPORTUNITIES CL A		None			Sold	01/12/16	K		
20. WASATCH 1ST SOURCE INCOME FUND	A	Dividend			Sold	02/12/16	K		
21. OPPENHEIMER DISCOVER MID CAP GROWTH CLASS A		None			Buy	01/20/16	K		
22.					Sold	02/04/16	K		
23. MAINSTAY MONEY MARKET CLASS A	A	Dividend			Buy	01/12/16	K		
24.					Buy (add'l)	01/16/16	K		
25.					Sold	02/02/16	L		
26. PIMCO INCOME FUND CL A	A	Dividend			Buy	01/12/16	K		
27.					Sold	01/22/16	K		
28. ISHARES GNMA BOND ETF	A	Dividend	K	T	Buy	02/18/16	K		
29. ISHARES CORE S&P 500 ETF	B	Dividend	M	T	Buy	02/17/16	M		
30.					Sold	02/29/16	M	D	
31.					Buy	03/01/16	M		
32.					Sold	04/08/16	M	D	
33.					Buy	11/04/16	M		
34. ISHARES RUSSELL 2000 ETF	A	Dividend	L	T	Buy	09/15/16	K		

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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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35.					Sold	09/20/16	K		
36.					Buy	11/04/16	K		
37. ISHARES CORE US AGGREGATE BOND ETF	A	Dividend	K	T	Buy	10/18/16	K		
38. SECTOR SPDR TR SHS BEN INT UTILITES	A	Dividend	L	T	Buy	08/16/16	L		
39. SELECT SECTOR SPDR TR HEALTH CARE		None			Buy	07/22/16	K		
40.					Sold	08/30/16	K		
41. SELECT SECTOR SPDR TR SHS BEN INT TECHNOLOGY	A	Dividend	L	T	Buy	02/22/16	K		
42.					Sold (part)	02/26/16	K		
43.					Buy (add'l)	03/02/16	K		
44.					Sold (part)	04/08/16	K	C	
45.					Buy (add'l)	07/22/16	K		
46.					Sold	08/19/16	L	B	
47.					Buy	10/18/16	K		
48. SELECT SECTOR SPDR TR SHS BEN INT ENERGY	A	Dividend	J	T	Buy	02/24/16	K		
49.					Sold	02/26/16	K		
50.					Buy	03/01/16	K		
51.					Sold (part)	04/07/16	K	C	

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52. SELELCT SECTOR SPDR TR SHS BEN INT MATERIALS	A	Dividend	K	T	Buy	02/18/16	K		
53.					Sold (part)	02/28/16	K	B	
54.					Buy (add'l)	03/02/16	K		
55.					Sold	04/11/16	L	C	
56.					Buy	10/18/16	K		
57.					Sold	10/28/16	K		
58.					Buy	11/14/16	K		
59. SECTOR SPDR TR SHS BEN INT CONSUMER STAPLES	A	Dividend			Buy	06/08/16	K		
60.					Sold	06/24/16	K		
61. VANGUARD SECTOR INDEX FDS FINLS VIPERS	A	Dividend			Buy	03/02/16	K		
62.					Sold	03/30/16	L	B	
63.					Buy	09/15/16	K		
64.					Sold	10/14/16	K		
65. VANGUARD INTERM-TERM GOVT BOND	A	Dividend			Buy	05/31/16	J		
66.					Sold	09/15/16	J		
67. SPDR SERIES TRUST BLMBRG BRC CNV RT	A	Dividend	J	T	Buy	11/14/16	J		
68. BROKERAGE ACCOUNT #1 (H)									

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69. FIDELITY FUNDS: PRIME MONEY MKT RESERVES FUND (CASH)	A	Interest	J	T					
70. GULF KEYSTONE PETRO COMMON STOCK (Y)									
71. ALTRIA GROUP COMMON STOCK	A	Dividend	J	T					
72. FIDELITY NEW ADV INSIGHTS FUND CL A	A	Dividend	J	T					
73. IVY MID CAP GROWTH FUND CL C		None			Sold	05/27/16	J		
74. PIONEER FUNDEMENTAL GROWTH FUND CL C	A	Dividend	J	T	Buy	05/31/16	J		
75. THORNBURG INVEST INCOME BUILDER FUND CL C	A	Distribution	J	T					
76. BROKERAGE ACCOUNY #2 (H)									
77. AMERIPRISE INSURED MONEY MARKET (CASH)	A	Interest	K	T					
78. EATON VANCE FUNDS: ACTIVE TAX MGD GLBL FUND	B	Dividend	J	T					
79. ISHARES CORE S&P SMALL CAP ETF	A	Dividend	J	T	Buy (add'l)	09/01/16	J		
80. VANGUARD DIV APPRECIATION FUND	A	Dividend	J	T	Sold (part)	09/01/16	J	B	
81. FIRST EAGLE FUNDS GLOBAL FUND CL A	A	Dividend	K	T					
82. IVY BALANCED CL A	A	Dividend			Sold	09/01/16	K		
83. JP MORGAN VALUE ADVANTAGE CL A	A	Dividend	K	T	Sold (part)	09/01/16	J		
84. MFS INTL VALUE CL A	A	Dividend	K	T	Buy (add'l)	01/05/16	J		
85.					Buy (add'l)	09/01/16	J		

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86. CALAMOS MARKET NEUTRAL FUND	A	Dividend	K	T					
87. THORNBURG LTD MUNI FUND CL I	A	Interest	K	T					
88. ALPS ALERIAN MLP ETF	A	Dividend	J	T	Buy (add'l)	09/01/16	J		
89. NUVEEN PA MUN BOND CL A	A	Dividend	J	T	Buy (add'l)	09/01/16	J		
90. SPDR BARCLAYS CAPITAL SHORT TERM MUNI BOND FUND	A	Dividend	J	T	Buy (add'l)	01/05/16	J		
91.					Buy (add'l)	09/01/16	J		
92. ISHARES S&P 500 GROWTH ETF	A	Dividend	J	T	Buy	09/01/16	J		
93. ISHARES EDGE MSCI MIN VOLATILITY ETF	A	Dividend	J	T	Buy	09/01/16	J		
94. ISHARES CORE US AGGREGATE BOND ETF	A	Dividend	J	T	Buy	09/01/16	J		
95. ISHARES CORE S&P MID CAP ETF	A	Dividend	J	T	Buy	09/01/16	J		
96. NUVEEN ALL AMERICAN MUN BOND CL A	A	Dividend	J	T	Buy	09/01/16	J		
97. SPDR SERIES TRUST S&P DIVIDEND ETF	A	Dividend	J	T	Buy	09/01/16	J		
98. VANGUARD REIT INDEX ETF	A	Dividend	J	T	Buy	09/01/16	J		
99. MISCELLANEOUS ACCOUNTS (H)									
100. PNC BANK (CASH)	A	Interest	J	T					
101. VIRTUAL BANK (CASH)	B	Interest	L	T					
102. RIVERSOURCE LIFE INSURANCE COMPANY (X)	A	Int./Div.	J	T					

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

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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