

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2013

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 04/28/2014
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 1/1/2013 to 12/31/2013
7. Chambers or Office Address 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	University of Pittsburgh Medical Center ("UPMC")
2. ADJUNCT PROF.	UNIVERSITY OF PITTSBURGH SCHOOL OF LAW
3. LIMITED PARTNER	FOUR NORTHSORE ASSOC.
4.	
5.	
6.	

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

04/28/2014

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. 2013	SALARY FOR TEACHING AT UNIVERSITY OF PITTSBURGH LAW SCHOOL	\$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.	AMERICAN CONFERENCE INSTITUTE	1/24/13 TO 1/25/13	MIAMI, FLA	SPEAKER AT EDUCATIONAL SEMINAR	TRAVEL AND LODGING
2.	NY INTELLECTUAL PROPERTY LAW ASSOC.	3/22/13 TO 3/23/13	NEW YORK, NY	SEMINAR AND DINNER FOR BENCH AND BAR	TRAVEL, DINNER AND LODGING FOR ME AND GUEST
3.	AMERICAN CONFERENCE INSTITUTE	5/30/13 TO 5/31/13; 10/24/13 TO 10/25/13	NEW YORK, NY	SPEAKER AT EDUCATIONAL SEMINAR	TRAVEL AND LODGING
4.	ALLEGHENY COUNTY BAR ASSOCIATION	6/20/13 TO 6/22/13	CHAMPION, PA	BENCH/BAR CONFERENCE	MEALS AND LODGING

FINANCIAL DISCLOSURE REPORT

Page 3 of 13

Name of Person Reporting	Date of Report
Lenihan, Lisa P.	04/28/2014

5.	ACADEMY OF TRIAL LAWYERS OF ALLEGHENY COUNTY	10/02/13 TO 10/04/13	FARMINGTON, PA	EDUCATIONAL CONFERENCE	MEALS AND LODGING
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FINANCIAL DISCLOSURE REPORT

Page 4 of 13

Name of Person Reporting

Lenihan, Lisa P.

Date of Report

04/28/2014

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.	JOHN MYERS	JEWELRY	\$2,000.00
2.	JOHN MYERS	GIFT CARD TO STORE	\$500.00
3.	JOHN MYERS	GOLF CLUBS	\$500.00
4.	JOHN MYERS	LUGGAGE	\$750.00
5.			
6.			

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 5 of 13

Name of Person Reporting

Lenihan, Lisa P.

Date of Report

04/28/2014

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. Limited Partner, 4 Northshore Associates		None	O	S					
2. IRA - Commonwealth									
3. Allianz Funds: NFJ Small Cap Fund Cl A	A	Dividend	J	T					
4. Allianz Wellness Cl A		None	J	T	Buy	06/27/13	J		
5. American Income Fund of America Cl F					Buy	03/06/13	J		
6. American Income Fund of America Cl F	A	Dividend	J	T	Buy (add'l)	06/21/13	J		
7. Allianz RCM Global Water Fund Cl A		None			Sold	05/03/13	K	B	
8. Allianz RCM Global Water Fund Cl A	A	Dividend	J	T	Buy	06/11/13	J		
9. American Washington Mutual Investors Fund Cl F1		None			Buy (add'l)	01/14/13	J		
10. American Washington Mutual Investors Fund Cl F1		None			Sold (part)	01/14/13	J	A	
11. American Washington Mutual Investors Fund Cl F1		None			Sold (part)	06/21/13	J	A	
12. American Washington Mutual Investors Fund Cl F1		None			Sold	12/02/13	K	C	
13. Copeland Risk Mgmt Div Growth Cl A	A	Dividend	K	T	Buy	10/11/13	K		
14. Fidelity Advisor Consumer Staples Cl I	A	Dividend	L	T					
15. Franklin Rising Div Cl A		None			Buy	04/23/13	K		
16. Franklin Rising Div Cl A		None			Sold	06/24/13	K	A	
17. Franklin Conv Sec Cl A		None			Buy	02/05/13	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	

FINANCIAL DISCLOSURE REPORT

Page 6 of 13

Name of Person Reporting

Lenihan, Lisa P.

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18. Franklin Conv Sec CI A		None			Sold	03/25/13	K	A	
19. Franklin Floating Rate CI A		None			Buy	04/16/13	J		
20. Franklin Floating Rate CI A		None			Sold	04/23/13	J	A	
21. Franklin Floating Rate CI A		None			Buy	06/24/13	J		
22. Franklin Floating Rate CI A	A	Dividend	K	T	Buy (add'l)	07/03/13	J		
23. Franklin Gold & Precious Metalas Fund CI A		None			Sold	04/16/13	K	A	
24. Mainstay Mkt CI A		None			Buy	03/25/13	K		
25. Mainstay Mkt CI A	A	Dividend	L	T	Buy (add'l)	06/26/13	K		
26. Oppenheimersteel MLP A	B	Dividend	K	T	Buy	02/25/13	K		
27. PIMCO EQS Long/Short CI A	A	Dividend	K	T	Buy	11/01/13	K		
28. PIMCO Fundamental Index Plus CI A		None			Buy	06/27/13	K		
29. PIMCO Fundamental Index Plus CI A		None			Buy (add'l)	06/28/13	J		
30. PIMCO Fundamental Index Plus CI A		None			Sold	09/26/13	K	B	
31. PIMCO Fundamental Index Plus CI A		None			Buy	10/16/13	K		
32. PIMCO Fundamental Index Plus CI A		None			Sold	11/01/13	K	A	
33. PIMCO EQS Div Fund CI A		None			Buy	01/15/13	K		
34. PIMCO EQS Div Fund CI A		None			Sold	02/27/13	K	A	

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FINANCIAL DISCLOSURE REPORT

Page 7 of 13

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35. PIMCO Stockplus Short Strategy CL A		None			Sold (part)	01/15/13	K	A	
36. PIMCO Stockplus Short Strategy CL A		None			Buy (add'l)	02/27/13	K		
37. PIMCO Stockplus Short Strategy CL A		None			Sold (part)	03/22/13	K	A	
38. PIMCO Stockplus Short Strategy CL A		None			Sold (part)	06/27/13	K	C	
39. PIMCO Stockplus Short Strategy CL A		None			Buy (add'l)	09/26/13	K		
40. PIMCO Stockplus Short Strategy CL A	A	Dividend	K	T	Sold (part)	10/16/13	K	A	
41. Wasatch Long/Short Fund		None	K	T	Buy	08/30/13	K		
42. TRowePrice Funds: Emerging Markets		None			Sold	07/25/13	K	B	
43. TRowe Price Funds: Real Estate Fund		None			Sold	06/21/13	K	B	
44. Allianz Short Duration CI A		None			Buy	05/03/13	K		
45. Allianz Short Duration CI A		None			Sold (part)	06/11/13	J	A	
46. Allianz Short Duration CI A		None			Sold	06/27/13	J	A	
47. Franklin US Govt CI A		None			Buy	03/21/13	L		
48. Franklin US Govt CI A		None			Buy	03/21/13	K		
49. Franklin US Govt CI A		None			Sold (part)	06/11/13	K	A	
50. Franklin US Govt CI A	A	Dividend	J	T	Sold (part)	07/03/13	J	A	
51. Mainstay Unconstrnd Bond Opp CI A	A	Dividend	K	T	Buy	12/02/13	K		

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FINANCIAL DISCLOSURE REPORT

Page 8 of 13

Name of Person Reporting

Lenihan, Lisa P.

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52. PIMCO Total Return Cl D	A	Dividend	K	T					
53. Templeton Global Bond Fund Cl A		None			Sold	03/21/13	L	C	
54. Templeton Global Bond Fund Cl A	B	Dividend	K	T	Buy	06/11/13	K		
55. M&I Bank -Money Market Account	A	Interest	K	T					
56. American Money Market Class F1		None			Sold	01/14/13	J	A	
57. American Money Market Class F1		None			Buy	02/28/13	J		
58. American Money Market Class F1		None			Sold	02/28/13	J	A	
59. US Energy Sector ISHARES		None			Sold	12/02/13	K	D	
60. Vanguard Total Stk Mkt ETF		None			Sold	02/25/13	K	C	
61. Brokerage Account - National Financial									
62. Fidelity Funds: Prime Money Mkt Reserves Fund	A	Interest	J	T					
63. Johnson & Johnson Common Stock		None			Sold	04/17/13	J	B	
64. Gulf Keystone Petro Common Stock		None	K	T					
65. iShares S&P Stock Index ETF	A	Dividend	J	T					
66. Altria Group Common Stock	A	Dividend	J	T					
67. Columbia Div Opp Fund CL C	A	Dividend	J	T					
68. Fidelity New Adv Insights Fund CL A		None	J	T					

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FINANCIAL DISCLOSURE REPORT

Page 9 of 13

Name of Person Reporting

Lenihan, Lisa P.

Date of Report

04/28/2014

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69. Ivy Mid Cap Growth Fund Cl C		None	J	T					
70. Thornburg Invest Income Builder Fund CL C	A	Dividend	J	T					
71. SouthernSun Funds: Small Cap		None	J	T					
72. Delaware Diversified Income Fund Cl C	A	Dividend	J	T					
73. Brokerage Account - Ameriprise									
74. Ameriprise Insured Money Market	A	Interest	J	T					
75. Cons Staples Sel Sect SPDR FD (XLP)		None			Sold	03/12/13	J	A	
76. Eaton Vance Limited Duration Fund	A	Dividend	J	T					
77. Eaton Vance Funds: Active Tax MGD GLBL Fund	B	Dividend	J	T					
78. ISHARES Core S&P Small Cap ETF	A	Dividend	J	T	Buy	11/18/13	J		
79. Energy Sel Sect SPDR FD (XLE)		None			Sold	03/12/13	J	A	
80. Kayne Anderson MLP		None			Buy (add'l)	03/12/13	J		
81. Kayne Anderson MLP		None			Sold	11/18/13	J	A	
82. Templeton Global Income Fund		None			Sold	11/18/13	J	A	
83. Utilities Select SPDR Fund		None			Sold	03/12/13	J	A	
84. Vanguard Div Appreciation Fund	A	Dividend	K	T					
85. Vanguard Int Term Bond Fund	A	Dividend	J	T					

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FINANCIAL DISCLOSURE REPORT

Page 10 of 13

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86. Vanguard Short Term Corp Bond ETF	A	Dividend	J	T	Buy	11/18/13	J		
87. General Electric Cap Corp Note 4.75% Due 09/15/14	A	Interest	J	T					
88. First Eagle Funds: Global Fund Cl A	A	Dividend	K	T					
89. First Eagle Overseas Fund CL I		None			Sold	11/18/13	J	A	
90. Ivy Balanced Cl A	A	Dividend	K	T	Buy	11/18/13	K		
91. JPMorgan Value Advantage Cl A	A	Dividend	K	T	Buy	11/18/13	K		
92. MFS Intl Value Cl A	A	Dividend	J	T	Buy	11/18/13	J		
93. Calamos Market Neutral Fund	A	Dividend	K	T					
94. Permanent Portfolio Fund		None			Buy (add'l)	03/12/13	J		
95. Permanent Portfolio Fund		None			Sold	11/18/13	K	A	
96. PIMCO Real Return Fund P		None			Sold	11/18/13	J	A	
97. Thornburg LTD Muni Fund CL I	A	Interest	K	T					
98. Virtus Prem Alphasector Fund		None			Sold	11/18/13	K	B	
99. ALPS Alerian MLP ETF	A	Dividend	J	T	Buy	11/18/13	J		
100. Eaton Vance Limited Duration Fund		None			Buy	03/12/13	J		
101. Eaton Vance Limited Duration Fund		None			Sold	11/18/13	J	A	
102. SPDR Nuveen Barclays Muni Bond Fund II		None			Buy	03/12/13	J		

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FINANCIAL DISCLOSURE REPORT

Page 11 of 13

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103. SPDR Nuveen Barclays Muni Bond Fund II		None			Sold	11/18/13	J	A	
104. Nuveen PA Muni Fund II		None			Buy	03/12/13	J		
105. Nuveen PA Muni Fund II		None			Sold	11/18/13	J	A	
106. Miscellaneous Accounts									
107. PNC Bank Checking Account	A	Interest	J	T					
108. PA TAP Accounts for Children. 529 Guaranteed Savings Plan. No control		None	K	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

Lenihan, Lisa P.

Date of Report

04/28/2014

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

Part VII Investment and Trusts

Line 1 (Limited Partner, 4 Northshore Associates) - Assessed value

Line 2 - IRA #1 renamed as IRA - Commonwealth

Brokerage Account #1 - closed in September, 2011

Line 55 - Brokerage Account #2 renamed as Brokerage Account - National Financial

Line 70 - Brokerage Account #3 renamed as Brokerage Account - Ameriprise

FINANCIAL DISCLOSURE REPORT

Page 13 of 13

Name of Person Reporting

Lenihan, Lisa P.

Date of Report

04/28/2014

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