

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) Polster, Dan A.	2. Court or Organization U.S. Dist. Ct., ND Ohio	3. Date of Report 04/13/2018
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Judge--Active	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 United States District Judge 18B Carl B. Stokes U.S. Court Cleveland, Ohio 44113		
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. Lifetime Trustee	Mandel Jewish Day School (formerly Agnon School)
2. Trustee	Siegal Lifelong Learning Center/CWRU
3. Secretary and Trustee	Jewish Education Center of Cleveland
4. Trustee	Jewish Federation of Cleveland
5. Trustee	Bellefaire Jewish Children's Bureau
6. Trustee	family trust
7. Board of Directors	Federal Bar Assn (Cleveland chapter)
8. Vice Chairman and Board of Directors	Mt. Sinai Health Care Foundation
9. Board of Directors	Global Cleveland
10. Board of Directors	William K. Thomas Inn of Court
11. Trustee	Mandel Foundation
12. Trustee	Mandel Supporting Foundation
13. Trustee	Yanowitz Supporting Foundation
14. Treasurer and Board of Directors	Federal Judges Association

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

☐ NONE (No reportable agreements.)

DATE

PARTIES AND TERMS

1. 1998	U.S. Civil Service Retirement System (CSRS) vested pension for Dept. of Justice service (1976-1998); to be paid upon retirement from judicial service
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. 2017	Park Synagogue (Stipend for teaching 9th and 10th grade classes)	\$2,522.00
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. 2016	Coleman Law LLC (sole practice)
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.				
2. Federal Judges Association	5/24--5/25/2017	Washington, D.C.	Attend board meeting	hotel, meals
3. American Bar Association	12/5--12/7/2017	Washington, D.C.	Speak at Antitrust Section spring mtg	Air fare, hotel, meals
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. Merrill Lynch Bank Deposit Program (Bank of America NA)	A	Interest	J	T					
2. Oakmark Intl Fund	A	Dividend	J	T					
3. Baron Growth Fd	A	Dividend	J	T					
4. GNM P41107 bonds	B	Dividend	J	T					
5. Cohen & Steers Reit Fd	B	Dividend	K	T					
6. Mainstay Large Cap Fd	A	Dividend	J	T					
7. NFJ Div Int Prem Strat Fd	A	Dividend			Sold	2015	J	A	
8. Amer.Funds Wash Fd	A	Dividend	J	T					
9. Eaton Vance Tax-Ad Gl Div Fd	B	Dividend			Sold	09/01/17	K	D	
10. Cohen & Steers Pref	A	Dividend	J	T	Buy (add'l)	06/15/17	J		
11. Guggenheim Total Return Fd	A	Dividend			Sold	01/30/17	K	A	
12. Blackrock Multi Asset Fd	A	Dividend	J	T	Buy (add'l)	06/15/17	J		
13. Lord Abbett Floating Rate Fd	A	Dividend			Sold	07/25/17	J	A	
14. Nuveen Real Asset Income Fd	A	Dividend	J	T	Buy	07/25/17	J		
15. Oppenheimer Senior Floating Rate Fd	A	Dividend	K	T	Buy	01/30/17	K		
16. James Alpha Global Real Estate Invest Fd	A	Dividend	J	T	Buy	09/18/17	J		
17. Pimco Income Fd	A	Dividend	K	T	Buy	06/15/17	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. Principal Global Diversified Inc. Fd	A	Dividend	J	T	Buy	09/18/17	K		
19.									
20. Liberty Acorn Tr Fd	A	Dividend	K	T	Sold (part)	06/23/17	J	A	
21. Liberty Acorn Tr Fd	A	Dividend	K	T	Sold (part)	12/27/17	J	A	
22. Celgene Corp	A	Dividend	K	T					
23. Chevron/Texaco	B	Dividend	K	T					
24. Intel	A	Dividend	K	T					
25. Goldman Sachs Money Mkt	A	Dividend	K	T					
26. Costco Wholesale Corp	A	Dividend	K	T	Buy (add'l)	07/31/17	J		
27. Vanguard Mid-Cap Fd	A	Dividend	K	T					
28. Microsoft Corp.	A	Dividend	L	T					
29. FedEx Corp.	A	Dividend	K	T					
30. Du Pont De Nemours (now DowDupont)	A	Dividend	K	T					
31. Facebook Inc.	A	Dividend	L	T					
32. Walt Disney Co. Corporate Bond	A	Interest	K	T	Buy	11/02/17	K		
33. Ralph Lauren Corp. Bond	A	Interest	K	T	Buy	11/02/17	K		
34.									

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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 \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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35. Tenneco common	A	Dividend	J	T					
36. Emburq (spinoff)	A	Dividend	J	T					
37. Windstream (spinoff)	A	Dividend	J	T					
38. CS&L Reit	A	Dividend	J	T					
39. Nomura Partners Japan Fund Class S	A	Dividend	J	T					
40. Unicom (formerly Comm. Ed. Preferred)	A	Dividend	J	T					
41. Roulston Growth Fd	A	Dividend	J	T					
42. PNC Bank (formerly National City)--check	A	Interest	J	T					
43. PNC Bank-check	A	Interest	J	T					
44. PNC Bank--CD	A	Interest	J	T					
45. PNC Bank--CD	A	Interest	J	T					
46. Ohio Savings - savings	A	Interest	J	T					
47. IRA-Ohio Savings Bank (Amcap Class A Fd)	B	Dividend	K	T					
48. IRA-Ohio Savings Bank (CD)	B	Interest	K	T					
49. IRA-Prudential Equity Fund	C	Dividend	K	T					
50. IRA-Prudential Equity Fd.	C	Dividend	K	T					
51. Wife's SEP IRA (Securities America) lines 52-65	E	Dividend	P1	T					

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52. American Gr. Fd of America	B	Dividend	M	T	Buy (add'l)	03/02/17	L		
53. Prudential Jennison Blend Rd	A	Dividend	L	T					
54. Vanguard Total Stock Market Index	C	Dividend	K	T					
55. Vanguard 500 Index Admiral	C	Dividend	K	T					
56. Pimco Income Fd	D	Dividend	M	T	Sold (part)	01/04/17	M	A	
57. Vanguard Short Term Inv. Gr. Investor	B	Dividend			Sold	01/04/17	M	A	
58. First Eagle Global Class I	B	Dividend	M	T	Buy	03/03/17	M		
59. T Rowe Price Global Technology	A	Dividend	L	T	Buy	09/01/17	L		
60. Vanguard Equity Inc Admiral	D	Dividend	N	T	Buy	01/04/17	N		
61. Vanguard World FDS Vanguard Consumer	B	Dividend	L	T	Buy	04/12/16	L		
62. Wisdomtree Emerging Markets	C	Dividend	L	T	Buy	09/13/16	L		
63. Wisdomtree US Largecap	C	Dividend	M	T	Buy	01/04/17	M		
64. Wisdomtree US Midcap	A	Dividend	L	T	Buy	04/12/16	L		
65. Wisdomtree US Smallcap	A	Dividend	L	T	Buy	04/12/16	L		
66.									
67. Mentor Property, LLC \$40,000--12/19/12	A	Distribution	K	R					
68. Norton Property, LLC \$27,000	A	Distribution	K	R					

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69. Euclid KV, LLC	A	Distribution	K	R	Buy	11/10/17	K		
70.									
71. Trust** (lines 72-127)	E	Int./Div.	P1	T					
72. --State of Israel Bond	B	Interest	K	T					
73. --Tenneco common	A	Dividend	J	T					
74. --JPMorgan Chase	A	Dividend	J	T					
75. --M.Lynch Money Market	A	Interest	L	T					
76. -- Israel Preferred	A	Dividend	J	T					
77. --, Dev. Bank of Israel Pref.	A	Dividend	J	T					
78. -- Amer.Fds New Persp Fd	A	Dividend	K	T					
79. --American Washington Mut Fd	A	Dividend	K	T					
80. -- Oakmark Intl Fund	A	Dividend	J	T					
81. --Baron Growth Fd	A	Dividend	J	T					
82. --US GNM Bonds	A	Interest	J	T					
83. --Eaton Vance Tax-Ad Fd	A	Dividend			Sold	09/01/17	K	A	
84. Mainstay Large Cap Gr Fd	A	Dividend	K	T					
85. Cohen & Steers Pref	B	Dividend	K	T					

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86. Cohen & Steers Reit	B	Dividend	K	T					
87. Voya GNMA Inc Fd	A	Dividend			Sold	01/30/17	K	A	
88. Lord Abbett Short Duration Inc Fd	B	Dividend	K	T					
89. Blackrock Multi Asset Inc Fd	A	Dividend	J	T	Buy	06/15/17	J		
90. James Alpha Global Real Estate Inv Fd	A	Dividend	J	T	Buy	09/18/17	J		
91. Nuveen Real Asset Inc Fd	A	Dividend	K	T	Buy	07/25/17	K		
92. Pimco Inc Fd	B	Dividend	K	T	Buy	06/15/17	K		
93. Principal Global Diversified Fd	A	Dividend	J	T	Buy	09/18/17	J		
94. Lord Abbett Floating Rate Fd	A	Dividend			Buy	01/30/17	K		
95. Lord Abbett Floating Rate Fd	A	Dividend			Sold	07/25/17	K	A	
96.									
97. --Money Market (Janney Adv)	A	Interest	K	T					
98. CPS Technologies Corp.	A	Dividend	K	T					
99. Senomyx Inc	A	Dividend	K	T	Buy	02/05/17	K		
100. --Enbridge Energy Mgt. LLC	A	Dividend	L	T					
101. Durect Corp.	A	Dividend	L	T					
102. Vanguard Balanced Inc Fd	B	Dividend	L	T					

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103. Immucell Corp	A	Dividend	K	T					
104.									
105. --Money Market (Wells Fargo)	A	Interest	M	T					
106. CBS Corp	A	Dividend	L	T	Sold (part)	03/07/17	J	C	
107. --Spire Inc. (formerly Laclede Gas) common	B	Dividend	L	T					
108. --Nuveen Ohio Munic. Fd	A	Dividend	J	T					
109. --Eaton Vance Tax Managed Gr. Fd (formerly E.V. Marath)	A	Dividend	L	T					
110. --Cedar Fair	D	Dividend	L	T					
111. --American Express Co.	A	Dividend	K	T					
112. --Chevron/Texaco	B	Dividend	L	T					
113. --Enterprise Products	B	Dividend	K	T					
114. --IBM Corp.	B	Dividend	K	T					
115. --Emerson Electric Co.	A	Dividend	K	T					
116. --Costco Wholesale Corp	A	Dividend	K	T	Sold (part)	03/07/17	K	D	
117. Hospitality Properties Reit Trust	B	Dividend	K	T					
118. --Vanguard Mid-Cap Fd	A	Dividend	K	T					
119. Cincinnati Ohio Urban Redevelopment Bd	A	Interest	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 \$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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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. Microsoft Corp	A	Dividend	L	T					
121. Target Corp.	A	Dividend			Sold	03/07/17	K	A	
122. Ishares ETF	C	Dividend	K	T	Buy	10/25/17	K		
123. Kraft Heinz Co	A	Dividend	K	T	Buy	10/25/17	K		
124. Walt Disney Co. Bond	A	Interest	K	T	Buy	11/02/17	K		
125. Ralph Lauren Corp Bond	A	Interest	K	T	Buy	11/02/17	K		
126. --Embarq. (spinoff)	A	Dividend	J	T					
127. --Windstream (spinoff)	A	Dividend	J	T					
128.									
129.									
130.									
131.									
132.									
133.									
134.									
135.									
136.									

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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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)
137.									
138.									
139.									
140.									
141.									
142.									
143.									
144.									
145.									

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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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/ Dan A. Polster**

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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