

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) Polster, Dan A.	2. Court or Organization U.S. Dist. Ct., ND Ohio	3. Date of Report 03/13/2014
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 01/01/2013 to 12/31/2013
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	Agnon School
2.	Trustee	Siegal Lifelong Learning Center/CWRU
3.	Trustee	Jewish Education Center of Cleveland
4.	Vice Chairman and Trustee	Jewish Federation of Cleveland
5.	Trustee	Bellefaire Jewish Children's Bureau
6.	Trustee	trust
7.	Board of Directors	Federal Bar Assn (Cleveland chapter)
8.	Board of Directors	Mt. Sinai Health Care Foundation

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. 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. 2013	Park Synagogue (Stipend for teaching 10th grade Confirmation class)	\$2570.00
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. 2013	Hahn, Loeser & Parks (law firm)
2. 2013	Coleman Law LLC (sole practice)
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.				
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.)*

<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. Money Market Funds (MLynch)	A	Interest	J	T					
2. BB&T Corp	A	Dividend			Sold	12/04/13	J	A	
3. Oakmark Intl Fund	A	Dividend	J	T					
4. Baron Growth Fd	A	Dividend	J	T					
5. GNM P41107 bonds	B	Dividend	J	T					
6. Templeton Global Bd Fd	A	Dividend	K	T					
7. Cohen & Steers Reit	A	Dividend	K	T	Buy	06/04/13	K		
8. Mainstay Large Cap Fd	A	Dividend	K	T					
9. NFJ Div Int Prem Strat Fd	A	Dividend	J	T					
10. Amer.Funds Wash Fd	A	Dividend	K	T					
11. Delaware Corp Bd Fd	A	Dividend			Sold	06/04/13	K	A	
12. Eaton Vance Tax-Ad Gl Div Fd	A	Dividend	K	T					
13. Cohen & Steers Pref	A	Dividend	J	T					
14. Mainstay Floating Rate Fd	A	Dividend	J	T	Buy	12/04/13	J		
15.									
16. Dreyfus Prem. Mun. Bd Fund	C	Dividend			Sold	12/16/13	K	A	
17. Liberty Acorn Tr Fd	A	Dividend	K	T					

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

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18. Chevron/Texaco	A	Dividend	K	T					
19. Hamilton County Sewer Bonds	A	Dividend			Redeemed	12/02/13	J	A	
20. DWS High Inc. Trust (formerly Kemper High Inc. Trust)	A	Dividend	J	T					
21. Intel	A	Dividend	K	T					
22. Goldman Sachs Money Mkt	A	Dividend	K	T					
23. Costco Wholesale Corp	A	Dividend	K	T					
24. Vanguard Mid-Cap Fd	A	Dividend	K	T					
25. Microsoft Corp.	A	Dividend	K	T					
26. Mylan, Inc.	A	Dividend	J	T					
27. Deere & Co.	A	Dividend	K	T	Sold (part)	01/14/13	J	D	
28. FedEx Corp.	A	Dividend	K	T	Sold (part)	12/16/13	J	C	
29. Kinder Morgan Energy Partners	A	Dividend	K	T					
30. Du Pont De Nemours	A	Dividend	K	T	Buy	12/16/13	K		
31. Facebook Inc.	A	Dividend	K	T	Buy	1/14/13	K		
32.									
33. Tenneco common	A	Dividend	J	T					
34. Embarq (spinoff)	A	Dividend	J	T					

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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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35. Windstream (spinoff)	A	Dividend	J	T					
36. Transistor Devices common	A	Dividend	L	W					
37. Transistor Devices common	A	Dividend	L	W					
38. Nomura Partners Japan Fund Class S	A	Dividend	J	T					
39. Unicom (formerly Comm. Ed. Preferred)	A	Dividend	J	T					
40. Roulston Growth Fd	A	Dividend	J	T					
41. PNC Bank (formerly National City)--check	A	Interest	J	T					
42. PNC Bank-check	A	Interest	J	T					
43. PNC Bank--CD	A	Interest	J	T					
44. PNC Bank--CD	A	Interest	J	T					
45. Ohio Savings - savings	A	Interest	J	T					
46. IRA-Ohio Savings Bank (Amcap Class A Fd)	B	Dividend	K	T					
47. IRA-Ohio Savings Bank (CD)	B	Interest	K	T					
48. IRA-Prudential Equity Fund	C	Dividend	K	T					
49. IRA-Prudential Equity Fd.	C	Dividend	K	T					
50. 401(K)- law practice (ABA Ret. Fd)	A	Dividend	N	T					
51. HR 10- law practice (ABA Ret. Fd) managed	A	Dividend	N	T					

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52. Mentor Property,LLC	C	Distribution	K	R					
53.									
54. Money Market (MLynch)	A	Interest	J	T					
55. Transistor Devices common	A	Dividend	L	W					
56. American Funds Wash.	A	Dividend			Sold (part)	04/17/13	J	A	
57. American Funds Wash.	A	Dividend			Buy (add'l)	08/01/13	J		
58. American Funds Wash	A	Dividend			Sold	12/05/13	J	B	
59. American Gr. Fd of America	A	Dividend			Sold	12/05/13	J	C	
60. Cohen & Steers REIT	A	Dividend			Sold	04/07/13	J	C	
61. Cohen & Steers Pref	A	Dividend			Sold	12/05/13	J	B	
62. Eaton Vance Inc. Fd	A	Dividend			Sold	04/17/13	K	A	
63. Templeton Global Bd Fd	A	Dividend			Sold	12/05/13	J	A	
64. Lord Abbett Value Fd	A	Dividend			Buy (add'l)	08/01/13	J		
65. Lord Abbett Value Fd	A	Dividend			Sold	12/05/13	J	A	
66. Oakmark Intl Fd	A	Dividend			Sold	12/05/13	J	B	
67. Blackrock Low Duration Fd	A	Dividend			Buy	04/17/13	K		
68. Blackrock Low Duration Fd	A	Dividend			Sold (part)	08/01/13	J	A	

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69. Blackrock Low Duration Fd	A	Dividend			Sold	12/05/13	K	A	
70. Hotchkis and Wiley	A	Dividend			Buy	08/01/13	J		
71. Hotchkis and Wiley	A	Dividend			Sold	12/05/13	J	A	
72. Baron Growth Fd	A	Dividend			Buy	08/01/13	J		
73. Baron Growth Fd	A	Dividend			Sold	12/05/13	J	A	
74. Ford common	A	Dividend	K	T					
75. Vistcon (Ford spinoff)	A	Dividend	J	T					
76. Citigroup (acq. Ford spinoff)	A	Dividend	J	T					
77. Unicom (form. Comm. Ed)	A	Dividend	J	T					
78. Warburg Pincus Growth	A	Dividend	J	T					
79. PNC Bank (savings)	A	Interest	J	T					
80.									
81. Trust** (lines 81-147)	E	Int./Div.	P1	T					
82. --State of Israel Bond									
83. --Tenneco common									
84. --JPMorgan Chase									
85. --Sprint Corp					Sold	09/10/13	J	A	

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86. --M.Lynch Money Market									
87. -- Israel Preferred									
88. --, Dev. Bank of Israel Pref.									
89. -- Amer.Fds New Persp Fd									
90. --American Washington Mut Fd									
91. -- Oakmark Intl Fund									
92. --Baron Growth Fd									
93. --US GNM Bonds									
94. --Templeton Global Bond Fd									
95. --Pimco Total Ret Fd					Sold	06/04/13	J	A	
96. --Eaton Vance Tax-Ad Fd									
97. Delaware Corp. Bd Fd					Sold	06/04/13	J	A	
98. Mainstay Large Cap Gr Fd									
99. Mainstay Floating Rate Fd					Buy	12/04/13	K		
100. Cohen & Steers Pref									
101. Cohen & Steers Reit					Buy	06/04/13	K		
102. BB & T Corp					Sold	12/04/13	K	A	

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103.									
104. --Money Market (Janney Adv)									
105. --Enbridge Energy Mgt. LLC									
106. --Trailer Bridge Inc.					Closed	12/16/13	J	A	
107. --Bolt Technologies									
108. --Culp Inc.					Sold	01/14/13	K	E	
109. --Durect Corp.									
110. Hersha Hospitality Tr					Sold	09/17/13	K	D	
111. Stratus Properties Inc					Buy (add'l)	01/14/13	K		
112. GT Advanced Techs Inc					Buy (add'l)	02/14/13	K		
113. GT Advanced Techs Inc					Sold (part)	09/20/13	K	E	
114. GT Advanced Techs Inc					Sold	10/07/13	K	D	
115. Nautilus, Inc.					Sold (part)	02/06/13	K	D	
116. Nautilus, Inc.					Sold	12/02/13	K	D	
117. Metalico, Inc.					Buy	03/22/13	K		
118. Metalico, Inc.					Buy (add'l)	03/25/13	K		
119. Metalico, Inc.					Buy (add'l)	10/17/13	K		

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

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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)
120. Perma-Fix Environmental					Buy	09/17/13	K		
121. Perma-Fix Environmental					Buy (add'l)	10/18/13	K		
122.									
123. --Money Market (Wells Fargo)									
124. --Laclede Gas common									
125. Mylan, Inc.									
126. --Nuveen Ohio Munic. Fd									
127. Royce Value Trust Inc					Buy	10/23/13			
128. --Eaton Vance Tax Managed Gr. Fd (formerly E.V. Marath)									
129. --Cedar Fair									
130. --American Express Co.									
131. --Chevron/Texaco									
132. --XTO Energy (now Exxon Mobil after 2010 merger)									
133. --Enterprise Products									
134. --Franklin, Ohio Munic. Bond					Redeemed	05/15/13	K	A	
135. --Caterpillar Inc									
136. --IBM Corp.									

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	

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Name of Person Reporting

Polster, Dan A.

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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. --Emerson Electric Co.									
138. --Costco Wholesale Corp									
139. Continental Resources Inc.									
140. Hospitality Properties Reit Trust									
141. Kinder Morgan Energy Partners LP									
142. United Rentals Inc.					Buy	10/23/13	K		
143. --Vanguard Mid-Cap Fd									
144. --Cuyahoga Cty Cap Impt Bond									
145. Cincinnati Ohio Urban Redevelopment Bd					Buy	10/23/13	K		
146. --Embarq. (spinoff)									
147. --Windstream (spinoff)									
148.									
149.									
150.									
151.									
152.									
153.									

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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Date of Report

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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)
154.									
155.									
156.									
157.									
158.									
159.									
160.									
161.									
162.									
163.									
164.									
165.									

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.)*

Part VII (Investments and Trusts), lines 62 and 63: These are [REDACTED] 401(K) and HR 10 accounts, maintained through [REDACTED] law firm. They are both professionally managed by ABA Retirement Funds. [REDACTED] determines an allocation among generic funds (e.g. bond, large-cap, small-cap). [REDACTED] has no knowledge or control of the selection of the specific funds themselves.

Part VII (Investments and Trusts), line 97. This company, Nicholas Financial Inc., went into bankruptcy reorganization.

Part VII (Investments and Trusts), line 99. I had listed this security, Trailer Bridge Inc., as a partial sale in 2011. In fact, the Trust completely sold it.

Part I

9. Board of Directors

Global Cleveland

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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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