

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) Polster, Dan A.	2. Court or Organization U.S. Dist. Ct., ND Ohio	3. Date of Report 05/15/2017
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 01/01/2016 to 12/31/2016
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.)*DATEPARTIES 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
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2.	
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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	Park Synagogue (Stipend for teaching 10th grade Confirmation class)	\$3,783.00
2. 2016	Cleveland Marshal School of Law (adjunct faculty: one course)	\$2,800.00
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.)*

<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	5/17--5/18/16	Washington, D.C.	Attend board meeting	Air fare, hotel, meals
3. Open World Program	10/13--10/14/16	Washington, D.C.	Orientation for visiting delegation of Serbian judges	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 I (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	Sold (part)	10/11/16	J	A	
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	Sold (part)	10/11/16	J	A	
7. NFJ Div Int Prem Strat Fd	A	Dividend	J	T					
8. Amer.Funds Wash Fd	A	Dividend	J	T					
9. Eaton Vance Tax-Ad Gl Div Fd	B	Dividend	K	T					
10. Cohen & Steers Pref	A	Dividend	J	T					
11. Guggenheim Total Return Fd	A	Dividend	K	T					
12. Blackrock Multi Asset Fd	A	Dividend	J	T	Buy	10/11/16	J		
13. Lord Abbett Floating Rate Fd	A	Dividend	J	T	Buy	10/11/16	J		
14.									
15. Liberty Acorn Tr Fd	A	Dividend	K	T	Sold (part)	12/09/16	J	A	
16. Jazz Pharmaceuticals PLC	A	Dividend			Sold	12/09/16	K	A	
17. Celgene Corp	A	Dividend	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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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)

18. Chevron/Texaco	A	Dividend	K	T					
19. Intel	A	Dividend	K	T					
20. Goldman Sachs Money Mkt	A	Dividend	K	T					
21. Costco Wholesale Corp	A	Dividend	K	T					
22. Vanguard Mid-Cap Fd	A	Dividend	K	T					
23. Microsoft Corp.	A	Dividend	L	T	Donated (part)	12/09/16	J	C	
24. FedEx Corp.	A	Dividend	K	T					
25. Du Pont De Nemours	A	Dividend	K	T					
26. Facebook Inc.	A	Dividend	L	T	Donated (part)	12/09/16	J	D	
27.									
28. Tenneco common	A	Dividend	J	T					
29. Embark (spinoff)	A	Dividend	J	T					
30. Windstream (spinoff)	A	Dividend	J	T					
31. CS&L Reit	A	Dividend	J	T					
32. Nomura Partners Japan Fund Class S	A	Dividend	J	T					
33. Unicom (formerly Comm. Ed. Preferred)	A	Dividend	J	T					
34. Roulston Growth Fd	A	Dividend	J	T					

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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. PNC Bank (formerly National City)--check	A	Interest	J	T					
36. PNC Bank-check	A	Interest	J	T					
37. PNC Bank--CD	A	Interest	J	T					
38. PNC Bank--CD	A	Interest	J	T					
39. Ohio Savings - savings	A	Interest	J	T					
40. IRA-Ohio Savings Bank (Amcap Class A Fd)	B	Dividend	K	T					
41. IRA-Ohio Savings Bank (CD)	B	Interest	K	T					
42. IRA-Prudential Equity Fund	C	Dividend	K	T					
43. IRA-Prudential Equity Fd.	C	Dividend	K	T					
44. Wife's SEP IRA (Securities America) lines 47-62	E	Dividend	P1	T					
45. American Gr. Fd of America	A	Dividend	M	T					
46. Fidelity Advisor Mid Cap Value Fd	B	Dividend	L	T	Sold	04/12/16	L	A	
47. Fidelity Select Energy	A	Dividend	K	T	Sold	09/13/16	K	A	
48. Franklin Mutual European Fund	B	Dividend	L	T	Sold	04/12/16	L	A	
49. Oppenheimer Dev. Markets Fd	A	Dividend	L	T	Sold	04/12/16	L	A	
50. Prudential Jennison Blend Rd	A	Dividend	L	T					
51. T Rowe Price Small Cap Value Fd	A	Dividend	L	T	Sold	09/13/16	L	A	

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52. Vanguard Health Care Investor	A	Dividend	K	T	Sold	09/13/16	K	A	
53. Vanguard Total Stock Market Index	B	Dividend	K	T					
54. Vanguard 500 Index Admiral	C	Dividend	K	T					
55. Pimco Income Fd	D	Dividend	M	T					
56. Templeton Global Bond	C	Dividend	L	T	Sold	04/12/16	L	A	
57. Vanguard Short Term Inv. Gr. Investor	B	Dividend	L	T					
58. First Tr. Exchange Traded Fd	A	Dividend	K	T	Sold	04/12/16	K	A	
59. Ishares Biotechnology ETF	A	Dividend	K	T	Sold	09/13/16	K	A	
60.									
61. Mentor Property,LLC\$40,000--12/19/12	A	Distribution	K	R					
62. Norton Property, LLC \$27,000	A	Distribution	K	R					
63.									
64. Trust** (lines 67-130)	E	Int./Div.	P1	T					
65. --State of Israel Bond	B	Interest	K	T					
66. --Tenneco common	A	Dividend	J	T					
67. --JPMorgan Chase	A	Dividend	J	T					
68. --M.Lynch Money Market	A	Interest	L	T					

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69. -- Israel Preferred	A	Dividend	J	T					
70. --, Dev. Bank of Israel Pref.	A	Dividend	J	T					
71. -- Amer.Fds New Persp Fd	A	Dividend	K	T					
72. --American Washington Mut Fd	A	Dividend	K	T					
73. -- Oakmark Intl Fund	A	Dividend	J	T					
74. --Baron Growth Fd	A	Dividend	J	T					
75. --US GNM Bonds	A	Interest	J	T					
76. --Eaton Vance Tax-Ad Fd	A	Dividend	K	T					
77. Mainstay Large Cap Gr Fd	A	Dividend	K	T					
78. Cohen & Steers Pref	B	Dividend	K	T					
79. Cohen & Steers Reit	B	Dividend	K	T					
80. Voya GNMA Inc Fd	A	Dividend	K	T					
81. Lord Abbett Short Duration Inc Fd	B	Dividend	K	T					
82.									
83. --Money Market (Janney Adv)	A	Interest	K	T					
84. CPS Technologies Corp.	A	Dividend	K	T					
85. Senomyx Inc	A	Dividend			Buy (add'l)	04/18/16	J		

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86. Senomyx Inc	A	Dividend			Buy (add'l)	07/27/16	J		
87. Senomyx Inc	A	Dividend			Buy (add'l)	10/13/16	J		
88. Senomyx Inc	A	Dividend			Sold	12/14/16	K	A	
89. --Enbridge Energy Mgt. LLC	A	Dividend	M	T					
90. Durect Corp.	A	Dividend	L	T	Buy (add'l)	01/27/16	J		
91. --Durect Corp.	A	Dividend	L	T	Buy (add'l)	02/23/16	K		
92. Stratus Properties Inc	A	Dividend			Sold (part)	01/27/16	K	E	
93. Stratus Properties Inc	A	Dividend			Sold	02/23/16	M	F	
94. Perma-Fix Environmental	A	Dividend			Sold	11/11/16	K	C	
95. Hudson Technologies	A	Dividend			Sold	07/19/16	L	E	
96. Vanguard Balanced Inc Fd	B	Dividend	L	T					
97. Taylor Devices	A	Dividend			Sold (part)	01/27/16	K	D	
98. Taylor Devices	A	Dividend			Sold	06/09/16	L	E	
99. Immucell Corp	A	Dividend	K	T	Buy	09/23/16	K		
100. Omeros Corp	A	Dividend			Buy	06/07/16	K		
101. Omeros Corp	A	Dividend			Sold	10/06/16	K	A	
102.									

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103. --Money Market (Wells Fargo)	A	Interest	M	T					
104. CBS Corp	A	Dividend	L	T					
105. --Spire Inc. (formerly Laclede Gas) common	B	Dividend	L	T					
106. --Nuveen Ohio Munic. Fd	A	Dividend	J	T					
107. --Eaton Vance Tax Managed Gr. Fd (formerly E.V. Marath)	A	Dividend	L	T					
108. --Cedar Fair	C	Dividend	L	T					
109. --American Express Co.	A	Dividend	K	T					
110. --Chevron/Texaco	B	Dividend	L	T					
111. --XTO Energy (now Exxon Mobil after 2010 merger)	B	Dividend	J		Sold	01/27/16	L	E	
112. --Enterprise Products	B	Dividend	K	T					
113. --Caterpillar Inc	B	Dividend			Sold	12/02/16	L	D	
114. --IBM Corp.	B	Dividend	K	T					
115. --Emerson Electric Co.	A	Dividend	K	T					
116. --Costco Wholesale Corp	A	Dividend	K	T					
117. Hospitality Properties Reit Trust	B	Dividend	K	T					
118. United Rentals Inc.	A	Dividend			Sold	11/11/16	K	D	
119. --Vanguard Mid-Cap Fd	A	Dividend	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. Cincinnati Ohio Urban Redevelopment Bd	A	Interest	K	T					
121. RMR Group Inc.	A	Dividend			Sold	11/11/16	J	A	
122. Sketchers USA Inc	A	Dividend			Buy	11/04/15	K		
123. Sketchers USA Inc	A	Dividend			Sold	09/22/16	K	A	
124. Microsoft Corp	A	Dividend	L	T	Buy	01/27/16	L		
125. Target Corp.	A	Dividend	K	T	Buy	12/21/16	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	

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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Name of Person Reporting

Polster, Dan A.

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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
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544