

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2006

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 03/22/2007
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, ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2006 to 12/31/2006
7. Chambers or Office Address United States District Judge 18B Carl B. Stokes U.S. Court Cleveland, Ohio 44103	8. On the basis of the information contained in this Report and any modifications pertaining thereto, it is, in my opinion, in compliance with applicable laws and regulations. Reviewing Officer _____ Date _____	
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. Sign on last page.		

I. POSITIONS. (Reporting individual only; see pp. 9-13 of instructions.)

☐ NONE (No reportable positions.)

POSITION	NAME OF ORGANIZATION/ENTITY
1. Lifetime Trustee	[REDACTED]
2. Lifetime Trustee	[REDACTED]
3. Trustee	Jewish Community Federation of Cleveland
4. Trustee	Jewish Education Center of Cleveland
5. Trustee	[REDACTED] Trust
6. Board of Directors	Federal Bar Assn (Cleveland chapter)

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II. AGREEMENTS. (Reporting individual only; see pp. 14-16 of 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 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.		
2.		
3.		
4.		
5.		

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. 2006	Hahn, Loeser & Parks (law firm)
2.	
3.	
4.	
5.	

IV. REIMBURSEMENTS – *transportation, lodging, food, entertainment.**(Includes those to spouse and dependent children. See pp. 25-27 of instructions.)*☐ NONE *(No reportable reimbursements.)*

<u>SOURCE</u>	<u>DESCRIPTION</u>
1. NONE	
2.	
3.	
4.	
5.	

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V. GIFTS. *(Includes those to spouse and dependent children. See pp. 28-31 of instructions.)*☐ NONE *(No reportable gifts.)*

<u>SOURCE</u>	<u>DESCRIPTION</u>	<u>VALUE</u>
1. none		\$ 0.0
2.		
3.		
4.		
5.		

VI. LIABILITIES. *(Includes those of spouse and dependent children. See pp. 32-33 of instructions.)*☐ NONE *(No reportable liabilities.)*

<u>CREDITOR</u>	<u>DESCRIPTION</u>	<u>VALUE CODE</u>
1. none		
2.		
3.		
4.		
5.		

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VII. INVESTMENTS and TRUSTS – income, value, transactions (Includes those of the 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 Month - Day	(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. Servicemaster Co.	A	Dividend	K	T					
3. Calamos Gr Fund	A	Dividend			sale	11/13	J	B	
4. Hart Floating Rt. Fd	A	Dividend			purch	5/22	J		
5. Hart Floating Rt. Fd	A	Dividend			sale	11/13	J	A	
6. Oakmark Intl Fund	A	Dividend	J	T					
7. Baron Growth Fd	A	Dividend	J	T					
8. Hotchkis and Wiley Fd.	A	Dividend	J	T					
9. Amer. Gr. Fd of America	J	Dividend	K	T					
10. Franklin Cust Fds Util	A	Dividend	J	T	sale	11/13	J	A	
11. Putnam Floating Rate Inc Fd	A	Dividend	K	T	sale	11/13	K	A	
12. Munder Midcap Core Fd	A	Dividend	J	T	purch	11/13	J		
13. Gartmore Small Cap Fd	A	Dividend	J	T	purch	11/13	J		
14. Alger Small Cap Growth	A	Dividend	J	T	purch	11/13	J		
15. Thornburg Intl Value Fd	A	Dividend	J	T	purch	11/13	J		
16. Eaton Vance Large Cap Fd	A	Dividend	J	T	purch	11/13	J		
17.									

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	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	P3 = \$25,000,001 - \$50,000,000 Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	P4 = More than \$50,000,000 S = Assessment W = Estimated	T = Cash Market	

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☐ 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 Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
18. Allianz Pea Target Fund (formerly Pimco Adv. Target Fund)	C	Dividend	L	T	sale	10/18	K	D	
19. Dreyfus Prem. Mun. Bd Fund	C	Dividend	L	T	part. sale	10/18	K	A	
20. Putnam College Adv. Gr. Fd.	A	Dividend	K	T					
21. Liberty Acom Tr Fd	A	Dividend	K	T					
22. Chevron/Texaco	A	Dividend	K	T					
23. Chesapeake Energy Corp	A	Dividend	K	T					
24. Genentech Inc	A	Dividend	J	T					
25. Wayne Cty Ohio Munic.Bonds	B	Interest	K	T					
26. Putnam Coll.Adv.Bal. Fd.	A	Dividend	J	T					
27. Kemper High Inc. Trust	A	Dividend	J	T					
28. Intel	A	Dividend	K	T	purch	10/18	K		
29. Parker Hannifin	A	Dividend	K	T	purch	10/18	K		
30. Precision Cast Parts Corp.	A	Dividend	J	T	purch	10/18	K		
31.									
32. Tenneco common	A	Dividend	J	T					
33. Alltel common	A	Dividend	J	T					
34. Windstream Corp. (spinoff)	A	Dividend	J	T	spinoff	7/01	J		

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35. Embarq Corp. (spinoff)	A	Dividend	J	T	spinoff	5/17	J		
36. Transistor Devices common	A	Dividend	L	W					
37. Transistor Devices common	A	Dividend	L	W					
38. Japan Fund	A	Dividend	J	T					
39. Vanguard Fund	A	Dividend	J	T					
40. Unicom (formerly Comm. Ed. Preferred)	A	Dividend	J	T					
41. Roulston Growth Fd	A	Dividend	J	T					
42. National City Bank-check.	A	Interest	J	T					
43. NationalCity Bank-check	A	Interest	J	T					
44. National City Bank--CD	A	Interest	J	T					
45. National City Bank--CD	A	Interest	J	T					
46. Ohio Savings--savings	A	Interest	J	T					
47. IRA-Ohio Savings Bank(mut.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-Prud. Equity Fund	C	Dividend	K	T					
51. 401(K)--ABA Retirement Fds									

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52. Balanced Fund	B	Dividend	M	T	Transfer In	7/01	M		
53. Moderate Portfolio Fd	B	Dividend	M	T	Transfer In	7/01	M		
54. Pimco Total Ret. Fund	A	Dividend			Transfer Out	7/01	K		
55. Vanguard 500 Index Fd	B	Dividend			Transfer Out	7/01	K		
56. Longleaf Partners Fd	B	Dividend			Transfer Out	7/01	L		
57. Longleaf partners SmCp Fd	B	Dividend			Transfer Out	7/01	L		
58. T. Rowe Price MidCap Fd	B	Dividend			Transfer Out	7/01	L		
59. HR-10: Prof. Managed	E	Distribution	M	T					
60.									
61. Money Market Fund (ML)	A	Interest	K	T					
62. China Power and Light common	A	Dividend	J	T					
63. Transistor Devices common	A	Dividend	L	W					
64. Oakmark Intl Fd	A	Dividend	J	T	add purch	10/04	K		
65. Baron Growth Fd	A	Dividend	J	T					
66. Hotchkis and Wiley Small Cap Fd	A	Dividend	J	T					
67. State of Israel Bond	A	Interest	J	T					
68. Ford common	A	Dividend	J	T					

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69. Visteon (Ford spinoff)	A	Dividend	J	T					
70. Citigroup (acq Ford spinoff)	A	Dividend	J	T					
71. Traveler's Insurance (Ford spinoff)	A	Dividend	J	T					
72. Unicom (form. Comm. Ed)	A	Dividend	J	T					
73. Warburg Pincus Growth	A	Dividend	J	T					
74.									
75. Money Market (ML)	A	Interest	J	T					
76. Transistor Devices common	A	Dividend	L	W					
77. Oakmark Intl Fund	A	Dividend	J	T	add purch	10/06	J		
78. Hotchkis and Wiley SmCap	A	Dividend			sale	10/06	J	A	
79. Gabelli Utilities Fd	A	Dividend	J	T	add purch	4/04	J		
80. ML Global Allocation Fd I	A	Dividend	J	T					
81. Fidelity Adv Govt Invst Fd	A	Dividend			sale	4/04	J	A	
82. MFS Intl New Disc Fd	A	Dividend	J	T	purch	4/04	J		
83. Blackrock Global Alloc Fd	A	Dividend	J	T	purch	4/04	J		
84. State of Israel Bond	A	Interest	J	T					
85. Ford common	A	Dividend	J	T					

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86. Visteon (Ford spinoff)	A	Dividend	J	T					
87. Citigroup (acq. Ford spinoff)	A	Dividend	J	T					
88. Unicom (form. Comm. Ed)	A	Dividend	J	T					
89. Warburg Pincus Growth	A	Dividend	J	T					
90.									
91. Trust**	E	Div,Int	P1	T					
92. State of Israel Bond									
93. Tenneco common									
94. Pactiv Corp									
95. JPMorgan Chase									
96. Sprint Corp									
97. Embarq Corp. (spinoff)					spinoff	5/17	J		
98. M.Lynch Money Market									
99. U.S. GNM bonds									
100. Alltel common									
101. Windstream Corp. (spinoff)					spinoff	7/01	J		
102. Ampal Israel Preferred									

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103. Ind. Dev. Bank of Israel Pref.									
104. Amer New Persp Fd					add purch	3/01	J		
105. Amer Inc. Fd of Amer.									
106. American Washington Mut Fd									
107. Calamos Growth Fd									
108. Oakmark Intl Fund					add purch	10/04	K		
109. Hotchkis and Wiley Smallcap									
110. Baron Growth Fd									
111. Amer. Growth Fd of America					add purch	8/28	K		
112. Franklin Cust Fds Util					sale	5/22	J	A	
113. CD Treasury Bank NA									
114. Hartford Floating Rt Fd	A	Dividend	J	T	purch	5/23	J		
115. Money Fund									
116. Bolt Technologies					part sale	1/11	K	E	
117. Bolt Technologies					sale	8/30	K	E	
118. Immunogen Inc									
119. Cray Inc.					sale	9/18	K	D	

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120. Memry Corp.					sale	6/09	K	A	
121. Epix Pharmaceuticals					part sale	12/19	K	A	
122. Epix Pharmaceuticals					add purch	6/09	J		
123. Epix Pharmaceuticals					add purch	6/12	J		
124. Epix Pharmaceuticals					add purch	8/30	K		
125. Enbridge Energy Mgt LLC					add purch	5/17	K		
126.									
127. Money Market									
128. Laclede Gas common									
129. Valero LP (acquired Kanab Pipeline Pref.)									
130. Nuveen Ohio Munic. Fd.									
131. Davis NY Venture Fd									
132. Ohio St.Air Qual Bonds									
133. Eaton Vance Tax Managed Gr. Fd (formerly Eat.Vance Marath.Fd									
134. Cedar Fair									
135. American Express Co.									
136. Chevron/Texaco									

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	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	T = Cash Market
3. Value Method Codes (See Column C2)	P3 = \$25,000,001 - \$50,000,000 Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	P4 = More than \$50,000,000 S = Assessment W = Estimated		

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VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of the 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 Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
137. XTO Energy									
138. Franklin, Ohio Munic. Bond									
139. America Movil									
140. Corning					sale	7/26	J	A	
141. Ameriprise Financial (spinoff from American Express)									
142. Genentech Inc									
143. Harris Corp Del									
144. Hewlett-Packard									
145. Hugoton Royalty Trust					spinoff	5/12	J		
146. Hugoton Royalty Trust					sale	10/17	J	A	
147. Digital River					purch	10/17	J		

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

Date

3/22/07

NOTE: ANY INDIVIDUAL WHO KNOWINGLY AND WILFULLY FALSIFIES OR FAILS TO FILE THIS REPORT MAY BE SUBJECT TO CIVIL AND CRIMINAL SANCTIONS (5 U.S.C. app. § 104)

FILING INSTRUCTIONS

Mail signed original and 3 additional copies to:

Committee on Financial Disclosure
Administrative Office of the United States Courts
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544