

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2009

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 04/12/2010
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 01/01/2009 to 12/31/2009
7. Chambers or Office Address United States District Judge 18B Carl B. Stokes U.S. Court Cleveland, Ohio 44133	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 filing instructions.)

☐ NONE (No reportable positions.)

<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1. Lifetime Trustee	Agnon School
2. Lifetime Trustee	Siegal College of Jewish Studies
3. Trustee	Jewish Education Center of Cleveland
4. Trustee	trust
5. Board of Directors	Federal Bar Assn (Cleveland chapter)
6. Board of Directors	Mt. Sinai Health 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. 2009	Park Synagogue (Stipend for teaching 10th grade Confirmation class)	\$2,020.00
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. 2009	Hahn, Loeser & Parks (law firm)
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.				
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 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. Oakmark Intl Fund	A	Dividend	J	T					
3. Baron Growth Fd	A	Dividend	J	T					
4. Amer. Gr. Fd. of America	A	Dividend			Sold	6/18	J	A	
5. Munder Midcap Core Fd.	A	Dividend	J	T					
6. Alger Small Cap Growth	A	Dividend	J	T					
7. Thornburg Intl Value Fd	A	Dividend			Sold	6/18	J	A	
8. Eaton Vance Large Cap Fd	A	Dividend	J	T					
9. Alabama Power Co. Pref.	B	Dividend	K	T					
10. GNM P41107 bonds	B	Dividend	K	T					
11. Blackrock Pfd Inc. Fd	A	Dividend	J	T					
12. Templeton Global Bd Fd	A	Dividend	K	T	Buy	6/18	K		
13. Blackrock Inflation Fd	A	Dividend	K	T	Buy	6/18	K		
14. Hartford Floating Rate Fd	A	Dividend	J	T	Buy	6/18	J		
15. Putnam Floating Rate Fd	A	Dividend	J	T	Buy	6/18	J		
16. American Bond Fd	A	Dividend			Buy	6/18	K		
17. American Bond Fd	A	Dividend			Sold	11/16	K	A	

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

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	(1) Amount Code 1 (A-F)	(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. Delaware Corp Bond Fd	A	Dividend			Buy	6/18	K		
19. Delaware Corp Bond Fd	A	Dividend			Sold	11/16	K	B	
20.									
21. Dreyfus Prem. Mun. Bd Fund	C	Dividend	K	T					
22. Liberty Acorn Tr Fd	A	Dividend	K	T					
23. Chevron/Texaco	A	Dividend			Sold	11/24	K	D	
24. Wayne Cty Ohio Munic. Bonds	B	Interest	K	T					
25. Hamilton County Sewer Bonds	A	Dividend	J	T					
26. DWS High Inc. Trust (formerly Kemper Hig h Inc. Trust	A	Dividend	J	T	Buy (add'l)	4/6	J		
27. Intel	A	Dividend	J	T					
28. Parker Hannifin	A	Dividend	K	T					
29. Liberty Global Inc.	A	Dividend			Sold	7/2	J	A	
30. Rydell Russell Top 50	A	Dividend	J	T					
31. Goldman Sachs Money Mkt	A	Dividend	K	T					
32. Henderson Intl Opp Fd	A	Dividend	K	T					
33. Costco Wholesale Corp	A	Dividend	J	T					
34. Vanguard Mid-Cap 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	
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.)

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35. Microsoft Corp.	A	Dividend	K	T	Buy	7/2	K		
36.									
37. Tenneco common	A	Dividend	J	T					
38. Embarq (spinoff)	A	Dividend	J	T					
39. Transistor Devices common	A	Dividend	L	W					
40. Transistor Devices common	A	Dividend	L	W					
41. Japan Fund	A	Dividend	J	T					
42. Vanguard Gund	A	Dividend	J	T					
43. Unicorn (formerly Comm. Ed. Preferred)	A	Dividend	J	T					
44. Roulston Growth Fd	A	Dividend	J	T					
45. National City Bank-check.	A	Interest	J	T					
46. National City Bank-check	A	Interest	J	T					
47. National City Bank--CD	A	Interest	J	T					
48. National City Bank--CD	A	Interest	J	T					
49. Ohio Savings - savings	A	Interest	J	T					
50. IRA-Ohio Savings Bank (mut. fd.)	B	Dividend	K	T					
51. IRA-Ohio Savings Bank (CD)	B	Interest	K	T					

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2. Value Codes (See Columns C1 and D3)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	
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52. IRA-Prudential Equity Fund	C	Dividend	K	T					
53. IRA-Prudential Equity Fd.	C	Dividend	K	T					
54. 401(K) prof. managed	A	Dividend	N	T					
55. HR 10 prof. managed	A	Dividend	N	T					
56.									
57. Money Market (MLynch)	A	Interest	J	T					
58. Transistor Devices common	A	Dividend	L	W					
59. Gabelli Utilities Fd	A	Dividend	J	T					
60. Blackrock Global Alloc Fd	A	Dividend			Sold	6/16	K	A	
61. American Gr. Fd of America	A	Dividend			Sold	6/16	J	A	
62. MFS Intl New Disc Fd	A	Dividend			Sold	6/16	J	A	
63. Wells Fargo Govt Fd	A	Dividend			Sold	6/16	J	A	
64. State of Israel Bond	A	Interest	J	T					
65. Ford common	A	Dividend	K	T					
66. Visteon (Ford spinoff)	A	Dividend	J	T					
67. Citigroup (acq. Ford spinoff)	A	Dividend	J	T					
68. Unicom (form. Comm. Ed)	A	Dividend	J	T					

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69. Warburg Pincus Growth	A	Dividend	J	T					
70.									
71. Trust** (lines 72-140)	E	Int./Div.	P1	T					
72. State of Israel Bond									
73. Tenneco common									
74. Pactiv Corp									
75. JPMorgan Chase									
76. Sprint Corp									
77. M.Lynch Money Market									
78. U.S. GNM bonds									
79. Ampal Israel Preferred									
80. Ind. Dev. Bank of Israel Pref.									
81. Amer New Persp Fd					Sold (part)	11/16	L	A	
82. Amer Inc. Fd of Amer.					Sold (part)	11/16	K	A	
83. American Washington Mut Fd					Sold (part)	11/16	J	A	
84. Oakmark Intl Fund									
85. Baron Growth Fd									

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86. Amer. Growth Fd of America					Sold	11/16	K	A	
87. CD Treasury Bank NA					Redeemed	2005	K	A	
88. Hartford Floating Rt Fd					Buy (add'l)	6/18	J	A	
89. GNM Bonds									
90. Georgia Power Co.									
91. Blackrock Inflation Fd					Buy	11/16	J		
92. Templeton Global Bond Fd					Buy	11/16	J		
93. Delaware Corp Bond Fd					Buy	6/18	J		
94. Delaware Corp Bond Fd					Sold	11/16	K	B	
95. Putnam Floating Rate Bond Fd					Buy	6/18	J		
96. Pimco Total Ret Fd					Buy	3/24	K		
97. Amer. Bond Fd of America					Buy	6/18	J		
98. Amer. Bond Fd of America					Sold	11/16	J	A	
99. Wells Fargo Govt Sec Fd					Buy	6/18	K		
100. Wells Fargo Govt Sec Fd					Sold	11/16	K	A	
101.									
102. Money Fund (Janney Adv)									

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103. Immunogen					Sold (part)	1/08	J	A	
104. Immunogen					Sold (part)	3/09	J	A	
105. Immunogen					Sold (part)	4/15	K	D	
106. Immunogen					Sold (part)	6/26	K	D	
107. Immunogen					Sold	10/07	K	E	
108. Epix Pharmaceuticals					Sold (part)	12/07	J	A	
109. Enbridge Energy Mgt LLC									
110. Ibis Technologies Corp									
111. Trailer Bridge Inc.					Buy (add'l)	6/26	K		
112. Accuray Corp.					Buy (add'l)	4/15	K		
113. Cogdell Spencer Inc.									
114. Nicholas Financial Inc.					Buy (add'l)	6/30	K		
115. Nu Horizons Fleet Corp					Buy	4/15	K		
116. COM Devel. Intl					Buy	10/17	K		
117.									
118. Money Market (Wachovia)									
119. Laclede Gas common									

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120. Nuveen Ohio Munic. Bd									
121. Davis NY Venture Bd									
122. Eaton Vance Tax Managed Gr. Bd (formerly Eat. Vance Marath.									
123. Cedar Fair									
124. American Express Co.									
125. Chevron/Texaco									
126. XTO Energy									
127. Enterprise Products					Buy	7/2	K		
128. Franklin, Ohio Munic. Bond									
129. Hewlett-Packard									
130. Goldman Sachs Money Market									
131. Caterpillar Inc					Buy	11/24	J		
132. Henderson Intl Opp.									
133. IBM Corp					Buy	7/2	K		
134. Nustar Energy LLP (formerly Valero LP)									
135. Petroleo Brasileiro (not sold in 2008)									
136. Emerson Electric Co.									

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	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	D = \$5,001 - \$15,000 H2 = More than \$5,000,000 M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	
3. Value Method Codes (See Column C2)					

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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 Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
137. Costco Wholesale Corp									
138. Vanguard Mid-Cap Fd									
139. Cuyahoga Cty Cap Impt Bond									
140. Embarq. (spinoff)									
141.									
142.									
143.									
144.									
145.									
146.									
147.									
148.									
149.									
150.									
151.									
152.									

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	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	D = \$5,001 - \$15,000 H2 = More than \$5,000,000 M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	
3. Value Method Codes (See Column C2)					

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

I. Positions

7. Board of Directors

Jewish Community Federation of 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

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