

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2011

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 06/01/2012
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 01/01/2011 to 12/31/2011
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. Insert signature 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	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 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. 2011	Park Synagogue (Stipend for teaching 10th grade Confirmation class)	\$1,955.00
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. 2011	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. American Conference Institute	October 20-21	New York, N.Y.	Participate in CLE	Airfare, one night hotel, meals
2. American Bar Assn.	November 17	Philadelphia, Pa.	Participate in CLE	Airfare, meals
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.)*SOURCEDESCRIPTIONVALUE

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.)*CREDITORDESCRIPTIONVALUE CODE

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. Oakmark Intl Fund	A	Dividend	J	T	Buy (add'l)	02/22/11	J		
3. Baron Growth Fd	A	Dividend	J	T	Buy (add'l)	02/22/11	J		
4. Munder Midcap Core Fd.	A	Dividend			Sold	12/11/11	J	A	
5. Alger Small Cap Growth	A	Dividend			Sold	12/09/11	J	A	
6. Eaton Vance Large Cap Fd	A	Dividend			Sold	06/22/11	J	A	
7. Alabama Power Co. Pref.	B	Dividend			Sold	06/20/11	K	A	
8. GNM bonds	B	Dividend	J	T					
9. Blackrock Pfd Inc. Fd	A	Dividend			Sold	02/22/11	J	A	
10. Blackrock Cap. App Fd	A	Dividend			Buy	02/22/11	J		
11. Blackrock Cap. App Fd	A	Dividend			Sold	12/09/11	J	A	
12. Templeton Global Bd Fd	A	Dividend	K	T					
13. Blackrock Inflation Fd	A	Dividend			Sold	02/22/11	J	A	
14. Hartford Floating Rate Fd	A	Dividend			Sold	02/22/11	J	A	
15. Putnam Floating Rate Fd	A	Dividend			Sold	09/20/11	J	A	
16. Lord Abbett Value Fd	A	Dividend	J	T					
17. Mainstay Large Cap Fd	A	Dividend	K	T	Buy	02/22/11	K		

1. Income Gain Codes:	A = \$1,000 or less (See Columns B1 and D4)	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	F = \$50,001 - \$100,000 J = \$15,000 or less (See Columns C1 and D3)	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	N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000 (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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	(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)

18. NFJ Div Int Prem Strat Fd	A	Dividend	J	T	Buy	12/09/11	J		
19. Amer.Funds Wash Fd	A	Dividend	J	T	Buy	02/22/11	J		
20. Delaware Corp Bd Fd	A	Dividend	K	T	Buy	09/20/11	K		
21. Eaton Vance Tax-Ad Gl Div Fd	A	Dividend	K	T	Buy	12/01/11	J		
22. BNY Capital V Pref.	A	Dividend	J	T	Buy	06/22/11	J		
23. USB Capital VIII Trust Pfd	A	Dividend	J	T	Buy	06/22/11	J		
24.									
25. Dreyfus Prem. Mun. Bd Fund	C	Dividend	K	T					
26. Liberty Acorn Tr Fd	A	Dividend	K	T					
27. Chevron/Texaco	A	Dividend	K	T					
28. Wayne Cty Ohio Munic. Bonds	B	Interest			Redeemed	12/01/11	K	A	
29. Hamilton County Sewer Bonds	A	Dividend	J	T					
30. DWS High Inc. Trust (formerly Kemper High Inc. Trust)	A	Dividend	J	T					
31. Intel	A	Dividend	J	T					
32. Rydell Rusell Top 50	A	Dividend			Sold	11/30/11	J	A	
33. Goldman Sachs Money Mkt	A	Dividend	K	T					
34. Costco Wholesale Corp	A	Dividend	J	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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35. Vanguard Mid-Cap Fd	A	Dividend	J	T					
36. Microsoft Corp.	A	Dividend	K	T					
37. Deere & Co.	A	Dividend	K	T					
38. FedEx Corp.	A	Dividend	K	T					
39. Barrick Gold Corp	A	Dividend	J	T	Buy	08/11/11	J		
40. Kinder Morgan Energy Partners	A	Dividend	K	T	Buy	11/30/11	K		
41.									
42.									
43.									
44.									
45. Tenneco common	A	Dividend	J	T					
46. Emburq (spinoff)	A	Dividend	J	T					
47. Windstream (spinoff)	A	Dividend	J	T					
48. Transistor Devices common	A	Dividend	L	W					
49. Transistor Devices common	A	Dividend	L	W					
50. Japan Fund Class S	A	Dividend	J	T					
51. Unicorn (formerly Comm. Ed. Preferred)	A	Dividend	J	T					

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52. Roulston Growth Fd	A	Dividend	J	T					
53. PNC Bank (formerly National City)--check	A	Interest	J	T					
54. PNC Bank-check	A	Interest	J	T					
55. PNC Bank--CD	A	Interest	J	T					
56. PNC Bank--CD	A	Interest	J	T					
57. Ohio Savings - savings	A	Interest	J	T					
58. IRA-Ohio Savings Bank (mut. fd.)	B	Dividend	K	T					
59. IRA-Ohio Savings Bank (CD)	B	Interest	K	T					
60. IRA-Prudential Equity Fund	C	Dividend	K	T					
61. IRA-Prudential Equity Fd.	C	Dividend	K	T					
62. 401(K)- law firm (ABA Ret. Fd)	A	Dividend	N	T					
63. HR 10- lawfirm (ABA Ret. Fd) managed	A	Dividend	N	T					
64.									
65. Money Market (MLynch)	A	Interest	J	T					
66. Transistor Devices common	A	Dividend	L	W					
67. American Funds Wash.	A	Dividend	J	T	Buy	02/22/11	J		
68. American Gr. Fd of America	A	Dividend	J	T					

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69. Cohen & Steers REIT	A	Dividend	J	T					
70. Eaton Vance Inc. Fd	A	Dividend	J	T					
71. Templeton Global Bd Fd	A	Dividend	J	T					
72. Lord Abbett Value Fd	A	Dividend	K	T	Buy	02/22/11	K		
73. Oakmark Intl Fd	A	Dividend	J	T	Buy	02/22/11	J		
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 69-133)	E	Int./Div.	P1	T					
82. --State of Israel Bond									
83. --Tenneco common									
84. --JPMorgan Chase									
85. --Sprint 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
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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. --Amer Inc. Fd of Amer.					Sold	02/22/11	J	A	
91. --American Washington Mut Fd					Buy (add'l)	02/22/11	K		
92. -- Oakmark Intl Fund					Sold (part)	06/09/11	J	A	
93. --Baron Growth Fd					Sold (part)	06/09/11	J	A	
94. --Hartford Floating Rt Fd					Sold	02/22/11	J	B	
95. --US GNM Bonds									
96. --Blackrock Inflation Fd					Sold	02/22/11	J	A	
97. --Templeton Global Bond Fd									
98. --Putnam Floating Rate Bond Fd					Sold	09/20/11	J	A	
99. --Pimco Total Ret Fd					Buy	06/09/11	K	A	
100. --Eaton Vance Tax-Ad Fd					Buy (add'l)	12/01/11	J		
101. --Lord Abbett Value Fd					Buy (add'l)	12/01/11	J		
102. Delaware Corp. Bd Fd					Buy	09/20/11	J		

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103. Mainstay Large Cap Gr Fd					Buy	02/22/11	L		
104.									
105. --Money Market (Janney Adv)									
106. --Epix Pharmaceuticals					Sold	01/05/11	J	A	
107. --Embridge Energy Mgt. LLC					Sold	01/05/11	L	E	
108. --Ibis Technologies Corp					Sold	01/05/11	J	A	
109. --Trailer Bridge Inc.					Sold (part)	12/01/11	J	A	
110. --Cogdell Spencer Inc.									
111. Nicholas Financial Inc.					Sold (part)	02/01/11	K	D	
112. --Nicholas Financial Inc.					Sold	06/02/11	L	E	
113. --COM Devel. Intl					Sold	07/20/11	K	A	
114. --Bolt Technologies					Buy (add'l)	07/20/11	J		
115. --Bolt Technologies					Buy (add'l)	10/05/11	K		
116. --Culp Inc.					Buy (add'l)	06/01/11	K		
117. --Durect Corp.					Buy (add'l)	02/01/11	J		
118. --Durect Corp.					Buy (add'l)	07/20/11	J		
119. Hersha Hospitality Tr					Buy	10/26/11	K		

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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 mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
120. Stratus Properties Inc					Buy	01/20/11	K		
121.									
122. --Money Market (Wells Fargo)									
123. --Laclede Gas common									
124. --Nuveen Ohio Munic. Fd									
125. --Davis NY Venture Fd					Sold	08/11/11	K	C	
126. --Eaton Vance Tax Managed Gr. Fd (formerly E.V. Marath)									
127. --Cedar Fair					Buy (add'l)	11/01/11	J		
128. --American Express Co.									
129. --Chevron/Texaco									
130. --XTO Energy (now Exxon Mobil after 2010 merger)									
131. --Enterprise Products									
132. --Franklin, Ohio Munic. Bond									
133. --Hewlett-Packard									
134. --Goldman Sachs Money Market					Sold	08/11/11	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 \$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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Name of Person Reporting

Polster, Dan A.

Date of Report

06/01/2012

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. --Nustar Energy LLP (formerly Valero LP)					Sold	11/01/11	K	D	
138. --Emerson Electric Co.									
139. --Costco Wholesale Corp									
140. --Suncor Energy					Sold	11/30/11	K	A	
141. Continental Resources Inc.					Buy	12/01/11	K		
142. Hospitality Properties Reit Trust					Buy	11/01/11	K		
143. Kinder Morgan Energy Partners LP					Buy	11/30/11	K		
144. Barrick Gold Corp					Buy	08/11/11	K		
145. --Vanguard Mid-Cap Fd									
146. --Cuyahoga Cty Cap Impt Bond									
147. --Embarq. (spinoff)									
148. --Windstream (spinoff)									
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	
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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.									

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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Polster, Dan A.	06/01/2012

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 (formerly line 51) In response to a follow-up inquiry to my initial report, filed April 13, 2012, to provide additional detail on "Vanguard Fund" which I had listed on line 51, I determined that neither [REDACTED] own any shares of this fund at this time. It was not sold during 2011, so we must have sold it in a prior year. Accordingly, I have deleted it from my revised 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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Washington, D.C. 20544