

United States District Court  
For The Eastern District of Pennsylvania

Chambers of  
Louis H. Pollak  
United States District Judge

16613 United States Courthouse  
Independence Mall West  
Philadelphia, PA 19106-1723  
Tel: 215-597-9590  
[REDACTED]

August 21, 2008

Honorable Ortrie D. Smith  
Chair, Committee on Financial Disclosure  
One Columbus Circle, N.E.  
Washington, D.C. 20544

Dear Judge Ortrie:

This letter is a belated response to your letter of July 1, 2008 with respect to my financial disclosure report of May 15, 2008. My apologies for the delay in responding.\*

Your letter inquires about the entry "Fidelity Brokerage Services" at line 4 of Part VII (page 4). Fidelity Brokerage Services is the firm that has charge of the various Russell Funds listed at lines 8 through 16 of Part IV. The entry at line 4 reflects interest of \$13. I regret that the entry was not sufficiently self-explanatory.

Sincerely,

[REDACTED]

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\* I explained the cause of the delay in an August 8 e-mail to e-mail to the Committee's Staff Counsel, George D. Reynolds. Mr. Reynolds kindly responded on the same day.

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FINANCIAL DISCLOSURE REPORT  
FOR CALENDAR YEAR 2007

Report Required by the Ethics  
in Government Act of 1978  
(5 U.S.C. app. §§ 101-111)

<b>1. Person Reporting</b> (last name, first, middle initial)  POLLAK, LOUIS H	<b>2. Court or Organization</b>  EASTERN DISTRICT OF PA	<b>3. Date of Report</b>  05/15/2008
<b>4. Title</b> (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)  SENIOR DISTRICT JUDGE	<b>5a. Report Type</b> (check appropriate type) <input type="checkbox"/> Nomination,                      Date <input type="checkbox"/> Initial <input checked="" type="checkbox"/> Annual <input type="checkbox"/> Final <b>5b.</b> <input type="checkbox"/> Amended Report	<b>6. Reporting Period</b>  01/01/2007 to 12/31/2007
<b>7. Chambers or Office Address</b>  UNITED STATES COURTHOUSE 601 MARKET STREET, SUITE 16613 PHILADELPHIA, PA 19106	<b>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.</b>  Reviewing Officer _____ Date _____	
<p><b>IMPORTANT NOTES:</b> 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.</p>		

**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. Member of Council	American Law Institute (ALI)
2. Member, Board of Directors (until June 2007)	American Academy of Political and Social Science (AAPSS)
3. Member of Council	American Philosophical Society (APS)
4.	
5.	

**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.	
2.	
3.	

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FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting POLLAK, LOUIS H	Date of Report 05/15/2008
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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. 2007	University of Pennsylvania Law School - teaching	\$ 10,000
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.	
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 Law Institute	9/06/07 to 9/10/07	Minneapolis, Minnesota	Meeting of Sentencing Pr.	American Law Institute (travel, lodging, food)
2.	Federal Judicial Center	10/10/07 to 10/12/07	Lancaster, Pennsylvania	Educational Seminar	United States Courts (food and lodging)
3.	U.S. Judicial Conference	10/15/07 to 10/17/07	Palm Beach, Florida	Annual Multi District Lit	United States Courts (travel, lodging, food)
4.	American Law Institute	10/18/07 to 10/19/07	New York, New York	Council meeting.	American Law Institute (travel lodging, food)
5.					

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Name of Person Reporting

POLLAK, LOUIS H

Date of Report

05/15/2008

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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Name of Person Reporting

POLLAK, LOUIS H

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 Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
1. TIAA-CREF Annuity	F	Distribution	P1	T					
2. Citizens Bank	A	Interest	K	T					
3. National Penn Bank*	A	Interest	J	T					
4. Fidelity Brokerage Services	A	Interest	J	T					
5. WALNUT STREET	A	Dividend	J	T					
6. Center Point	A	Dividend	J	T					
7. MetLife	A	Dividend	K	T					
8. RUSSELL FUNDS: (1)Select Value	A	Dividend	K	T	Sell pt.	1/17	J	A	
9. " "	A	Dividend			Sell pt.	4/17	J	A	
10. " "	A	Dividend			Sell pt.	4/23	J	B	
11. " "	A	Dividend			Sell pt.	7/19	J	A	
12. " "	A	Dividend			Sell pt.	10/17	J	A	
13. (2) Select Growth		None	K	T	Sell pt.	4/23	J	B	
14. (3) Special Growth	A	Dividend	K	T	Sell pt.	4/23	J	B	
15. (4) Emerging Markets	A	Dividend	K	T					
16. (5) International Securities	A	Dividend	K	T					
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 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	

<b>Name of Person Reporting</b> POLLAK, LOUIS H	<b>Date of Report</b> 05/15/2008
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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of Report.)*

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting	Date of Report
POLLAK, LOUIS H	05/15/2008

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