

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2013

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) Chapman, Shelley C.	2. Court or Organization U.S. Bankruptcy Court, Southern District of New York	3. Date of Report 06/26/2014
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Bankruptcy Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2013 to 12/31/2013
7. Chambers or Office Address U.S. Bankruptcy Court, Southern District of NY One Bowling Green Room 632 New York, NY 10004		
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.	TRUSTEE	TRUST #1 (Pt. VII, Line 1)
2.		
3.		
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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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.)*

DATE	SOURCE AND TYPE	INCOME (yours, not spouse's)
1. 2013	UNITED STATES JUDGES	\$160,080.00
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.)*

DATE	SOURCE AND TYPE
1. 2013	██████████████████████████████████████ WAGES
2. 2013	SELF-EMPLOYED MEDICAL LECTURER AND CONSULTANT
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.)*

SOURCE	DATES	LOCATION	PURPOSE	ITEMS PAID OR PROVIDED
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.)*

SOURCE	DESCRIPTION	VALUE
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.)*

CREDITOR	DESCRIPTION	VALUE 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. Trust #1 (H)									
2. -Schwab U.S. Treasury Money Fund		None	J	T	Buy	01/02/13	K		
3. - SPDR S&P DIVIDEND ETF	A	Dividend			Sold	08/05/13	J	A	
4. - SCHWAB GOVERNMENT MONEY FUND		None			Sold	01/02/13	K		
5. -SCHWAB S&P 500 INDEX FUND	A	Dividend	J	T	Sold (part)	08/14/13	J	B	
6. -BBH CORE SELECT FUND		None			Sold	08/14/13	J	B	
7. - IVY MUNICIPAL HIGH INCOME FUND	A	Dividend			Sold	08/14/13	J		
8. -WELLS FARGO FDS TR ADINT TXAMTF 1	A	Dividend			Sold (part)	08/05/13	J		
9.					Sold	08/14/13	J		
10. -JEFFRIES ASSET MGMT CMDTY STRAT ALLC 1		None			Sold	08/14/13	J		
11. -PIMCO ALL ASSET ALL AUTHORITY 1	A	Dividend			Sold	08/14/13	J		
12. -VANGUARD STAR FD INTL STK INDXFD	A	Dividend	J	T	Buy	08/05/13	J		
13. -GOLDMAN SACHS TR STRG INCM INST	A	Dividend	J	T	Buy	08/05/13	J		
14. -HAMLIN HIGH DIVIDEND EQUITY INSTL	A	Dividend	J	T	Buy	08/05/13	J		
15. -ISHARES TR LEHMAN AGG BND		None			Buy	08/05/13	J		
16.					Sold	08/14/13	J		
17. Brokerage Account #1 (H)									

1. Income Gain Codes:	A = \$1,000 or less	B = \$1,001 - \$2,500	C = \$2,501 - \$5,000	D = \$5,001 - \$15,000	E = \$15,001 - \$50,000
(See Columns B1 and D4)	F = \$50,001 - \$100,000	G = \$100,001 - \$1,000,000	H1 = \$1,000,001 - \$5,000,000	H2 = More than \$5,000,000	
2. Value Codes	J = \$15,000 or less	K = \$15,001 - \$50,000	L = \$50,001 - \$100,000	M = \$100,001 - \$250,000	
(See Columns C1 and D3)	N = \$250,001 - \$500,000	O = \$500,001 - \$1,000,000	P1 = \$1,000,001 - \$5,000,000	P2 = \$5,000,001 - \$25,000,000	
	P3 = \$25,000,001 - \$50,000,000		P4 = More than \$50,000,000		
3. Value Method Codes	Q = Appraisal	R = Cost (Real Estate Only)	S = Assessment	T = Cash Market	
(See Column C2)	U = Book Value	V = Other	W = Estimated		

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18. - ABBOTT LABS	A	Dividend			Buy (add'l)	01/08/13	J		
19.					Sold (part)	06/13/13	J	C	
20.					Sold	07/26/13	J	B	
21. - ACCENTURE LTD	A	Dividend			Donated				
22.					Buy	06/13/13	J		
23.					Sold	07/26/13	J		
24. - APPLE INC	A	Dividend			Sold (part)	01/25/13	J	D	
25.					Sold (part)	06/13/13	J	D	
26.					Sold	07/26/13	J		
27. - GOOGLE INC CLASS A		None			Sold (part)	06/13/13	K	D	
28.					Sold	07/26/13	K	D	
29. - VARIAN MEDICAL SYSTEMS		None			Sold (part)	06/13/13	J	C	
30.					Sold (part)	06/26/13	J	A	
31.					Sold	07/26/13	J	B	
32. - ALLERGAN INC	A	Dividend			Buy	01/25/13	J		
33.					Sold (part)	06/13/13	K	D	
34.					Sold	07/26/13	K	D	

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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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35. - C H ROBINSON WORLDWIDE COM	A	Dividend			Sold (part)	06/13/13	J	A	
36.					Sold	07/26/13	J		
37. - ORACLE	A	Dividend			Donated				
38.					Buy	06/13/13	J		
39.					Sold	07/26/13	J		
40. - QUALCOMM INC	A	Dividend			Sold (part)	06/13/13	K	C	
41.					Sold	07/26/13	K	D	
42. - STARBUCKS CORP	A	Dividend			Sold (part)	06/13/13	K	D	
43.					Sold (part)	06/25/13	J	B	
44.					Sold	07/26/13	K	D	
45. - T ROWE PRICE GROUP INC	A	Dividend			Sold (part)	06/13/13	K	C	
46.					Sold	07/26/13	K	C	
47. - MICROSOFT CORP		None			Sold (part)	01/14/13	J	A	
48.					Sold	01/15/13	K	A	
49. - COGNIZANT TECH SOL CL		None			Sold (part)	04/23/13	J		
50.					Sold (part)	04/24/13	J		
51.					Sold	05/13/13	K		

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52. - FACTSET RESH SYSTEMS INC	A	Dividend			Sold (part)	04/03/13	J		
53.					Sold (part)	06/13/13	J	A	
54.					Sold	07/26/13	J	B	
55. - INTUIT INC	A	Dividend			Sold (part)	06/13/13	J	A	
56.					Sold	07/26/13	J	A	
57. - NIKE INC-CL B	A	Dividend			Buy	01/25/13	J		
58.					Sold (part)	06/13/13	K	C	
59.					Sold	07/26/13	K	C	
60. - WW GRAINGER INCORP	A	Dividend			Buy	05/06/13	J		
61.					Sold (part)	06/13/13	J	B	
62.					Sold	07/26/13	J	A	
63. - NASSAU CNTY NY INTERIM FIN AUTH 5.25% DUE 11/15/15	A	Interest			Sold	02/04/13	K	B	
64. - SMITHTOWN NY CENT SCH DIST 5% DUE 7/15/16	A	Interest			Sold	02/06/13	K	B	
65. -ABBVIE INC		None			Spinoff (from line 18)	01/01/13	J		
66.					Sold	01/08/13	J	B	
67. -EBAY INC COM		None			Buy	05/01/13	J		
68.					Sold (part)	06/13/13	J		

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69.					Buy (add'l)	06/27/13	J		
70.					Buy (add'l)	07/18/13	J		
71.					Sold	07/26/13	J		
72. -FASTENAL CO	A	Dividend			Buy	02/07/13	J		
73.					Sold (part)	06/13/13	J		
74.					Sold	07/26/13	J		
75. -GARTNER INC		None			Buy	01/15/13	J		
76.					Buy (add'l)	03/28/13	J		
77.					Sold (part)	06/13/13	J	A	
78.					Sold	07/26/13	J	A	
79. -INTUITIVE SURGICAL		None			Sold (part)	03/07/13	J	B	
80.					Sold (part)	06/13/13	J	C	
81.					Sold	07/09/13	J	B	
82. -VISA INC CL A COMMON STOCK	A	Dividend			Buy	02/07/13	K		
83.					Buy (add'l)	05/07/13	J		
84.					Sold (part)	06/13/13	J	B	
85.					Buy (add'l)	06/20/13	J		

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86.					Sold	07/26/13	K	B	
87. -BBH CORE SELECT FUND N	B	Dividend	L	T	Buy	08/05/13	L		
88. -DRIEHAUS MUT FDS ACTIVE INCOME	A	Dividend	K	T	Buy	06/24/13	K		
89. -HAMLIN HIGH DIVIDEND EQUITY INSTL	A	Dividend	K	T	Buy	08/05/13	K		
90. -SCHWAB CAP TR S&P 500 INVS SELECT SHARES	A	Dividend	K	T	Buy	06/24/13	K		
91. -VANGUARD TOTAL INTL STOCK INDEX INV	A	Dividend	K	T	Buy	06/24/13	K		
92. -YACHTMAN FOCUSED INSTL	C	Dividend	M	T	Buy	08/05/13	M		
93. -SCHWAB U.S. TREASURY MONEY FUND		None	M	T					
94. IRA #1 (H)									
95. -ISHARES TR LEHMAN AGG BND	A	Dividend	K	T					
96. -SCHWAB CAP TR S&P 500 INVS SELECT SHARES	A	Dividend	K	T					
97. -SCHWAB ADV CASH RESERVE PREM		None			Sold	01/02/13	J		
98. -JEFFERIES ASSET MGMT CMDTY STRAT ALLC		None			Buy	08/05/13	J		
99.					Sold	11/13/13	J	A	
100. -SCHWAB U.S. TREASURY MONEY FUND		None	J	T	Buy	01/02/13	J		
101. IRA #2 (H)									
102. -PIMCO ALL ASSET ALL AUTHORITY I	A	Dividend	J	T	Buy	08/05/13	J		

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103. -PIMCO FDS UNCSTR BD INST	B	Dividend	M	T	Buy	01/02/13	M		
104. - SCHWAB US TREAS MONEY FD		None	J	T					
105. -VANGUARD TOTAL INTL STOCK INDEX INV	D	Dividend	M	T					
106. IRA #3 (H)									
107. - DRIEHAUS ACTIVE INCOME FUND	B	Dividend	L	T					
108. - EATON VANCE GLOBAL MACRO ABSOLUTE RETURN	B	Dividend	L	T					
109. - BBH CORE SELECT FUND N	B	Dividend	K	T					
110. - FIDELITY CONCORD STR SP US EQT ADV	B	Dividend	M	T					
111. - SCHWAB CAP TR S&P 500 INVS SELECT SHARES	A	Dividend	K	T					
112. -WELLS FARGO FDS TR ADINT TXAMTF I	C	Dividend	M	T					
113. - FIDELITY CASH RESERVES	A	Dividend	J	T					
114. -PIMCO ALL ASSET ALL AUTHORITY I	A	Dividend	K	T	Buy	06/24/13	K		
115. IRA #4 (H)									
116. - EATON VANCE GLOBAL MACRO ABSOLUTE RETURN	A	Dividend	K	T	Buy	06/24/13	K		
117. - ISHARES TR LEHMAN AGG BND	C	Dividend	M	T					
118. - PIMCO ALL ASSET ALL AUTHORITY I	D	Dividend	M	T	Buy	12/02/13	M		
119. - SCHWAB CAP TR S&P INVS SELECT SHARES	B	Dividend	L	T	Sold (part)	12/02/13	M	F	

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. -BBH FD INC CORE SL RETAIL	A	Dividend	K	T					
121. - WELLS FARGO ULTRA ST MUNICIPAL INCOME	A	Dividend			Sold	01/02/13	M		
122. - JEFFRIES ASSET MGMT CMDTY STRAT ALLC I		None			Sold	11/13/13	L	A	
123. -VANGUARD TOTAL INL STOCK INDEX INV	A	Dividend	K	T					
124. - SCHWAB US TREASURY MONEY FUND		None	L	T					
125. -HAMLIN HIGH DIVIDEN EQUITY INSTL	C	Dividend	M	T	Buy	01/02/13	M		
126. -BLACKROCK FDS II STRG OPP INSTL	C	Dividend	M	T	Buy	01/02/13	M		
127. TIAA-CREF Annuities		None	O	T					
128. [REDACTED] Supplemental Retirement Annuities		None	M	T					
129. - TIAA TRADITIONAL MONEY MARKET	A	Dividend			Sold	01/15/13	K		
130. CITIBANK [REDACTED] CHECKING ACCOUNT	A	Interest	J	T					
131. PRUDENTIAL WHOLE LIFE INSURANCE POLICY		None	L	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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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: s/ Shelley C. Chapman

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