

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2017

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 04/23/2019
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 01/01/2017 to 12/31/2017
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.)

POSITION

NAME OF ORGANIZATION/ENTITY

1.		
2.		
3.		
4.		
5.		

II. AGREEMENTS. (Reporting individual only; see pp. 14-16 of filing instructions.)

☒ NONE (No reportable agreements.)

DATE

PARTIES AND TERMS

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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1. 2017	UNITED STATES JUDGES	\$188,538.63
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. 2017	MEMORIAL SLOAN-KETTERING CANCER CENTER, WAGES
2. 2017	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.)*

<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.)

	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.	CHARLES SCHWAB CORPORATION	MARGIN LOAN	L
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. Brokerage Account #1 (H)									
2. - HAMLIN HIGH DIVIDEND EQUITY INSTL		None			Sold	05/10/17	K	C	
3. - ISHARES TR S&P SMLCAP 600	A	Dividend	J	T					
4. - SCHWAB CAP TR S&P 500 INVS SELECT SHARES	A	Dividend	K	T					
5. - VANGUARD TOTAL INTL STOCK INDEX INV	A	Dividend	J	T					
6. - VANGUARD S&P 500 ETF	B	Dividend	M	T					
7. - U.S. Treasury Note .625%		None			Sold	01/03/17	K		
8. - SCHWAB U.S. TREASURY MONEY FUND	A	Dividend	J						
9. IRA #1 (H)									
10. - ISHARES CORE US AGGREGATE BOND (FORMERLY ISHARES TR LEHMAN AGG BND)	A	Dividend			Sold	08/31/17	K	A	
11. - SCHWAB CAP TR S&P 500 INVS SELECT SHARES	B	Dividend	L	T					
12. - PIMCO ALL ASSET ALL AUTHORITY CL INST	A	Dividend	K	T					
13. - SCHWAB U.S. TREASURY MONEY FUND	A	Dividend	J	T					
14. - ISHARES CORE US TREASURY BOND ETF	A	Dividend	J	T	Buy	08/31/17	J		
15. - BAIRD CORE PLUS BD INST	A	Dividend	J	T	Buy	08/31/17	J		
16. - METROPOLITAN WEST TOTAL RETURN BOND FUND I	A	Dividend	J	T	Buy	06/02/17	J		

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 = \$250,000,001 - \$500,000,000	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.)

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 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)

17. IRA #2 (H)									
18. - PIMCO ALL ASSET ALL AUTHORITY I	B	Dividend	K	T	Sold (part)	08/03/17	L	C	
19. - SCHWAB US TREAS MONEY FD	A	Dividend	J	T					
20. - ISHARES TR S&P SMLCAP 600	A	Dividend	J	T					
21. - VANGUARD S&P 500 ETF	A	Dividend	K	T	Sold (part)	08/03/17	J	B	
22. - VANGUARD EUROPE PACIFIC ETF	A	Dividend			Sold	08/03/17	J	B	
23. - VANGUARD INTL EMG MKT VIPERS	A	Dividend			Sold	08/03/17	J	A	
24. - BLACKROCK STRAT INCM OPPTY PORT INSTL (FORMERLY FDS II STRG OPP INS)	C	Dividend	M	T					
25. - EATON VANCE GLOBAL MACRO ABSOLUTE RETURN	C	Dividend	L	T					
26. - METROPOLITAN WEST TOTAL RETURN BOND FUND	A	Dividend	J	T	Buy (add'l)	06/21/17	J		
27. - ISHARES CORE US AGGREGATE BOND	A	Dividend			Buy	06/02/17	J		
28.					Sold	08/31/17	J	A	
29. - ISHARES US TREASURY BOND ETF	A	Dividend	J	T	Buy	08/31/17	J		
30. - BAIRD CORE PLUS BD INST	A	Dividend	J	T	Buy	08/31/17	J		
31. IRA #3 (H)									
32. - EATON VANCE GLOBAL MACRO ABSOLUTE RETURN	B	Dividend	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	
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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)

33. - BBH CORE SELECT FUND N	A	Dividend	K	T					
34. - FIDELITY 500 INDEX PREMIUM CLASS (FORMERLY CONCORD STR SP US EQ AD)	B	Dividend	M	T					
35. - SCHWAB CAP TR S&P 500 INVS SELECT SHARES	B	Dividend	L	T					
36. - FIDELITY TREASURY MONEY MARKET FUND	A	Dividend	K	T					
37. - PIMCO ALL ASSET ALL AUTHORITY I	A	Dividend	K	T					
38. - FIDELITY TREASURY FUND DAILY MONEY CLASS	A	Dividend			Redeemed	08/31/17	J		
39. - ISHARES TR S&P SMLCAP 600	A	Dividend	J	T					
40. - VANGUARD INDEX FDS (FORMERLY S&P 500 ETF)	A	Dividend	K	T					
41. - VANGUARD FTSE DEV MARKET ETF (FORMERLY EUROPE PACIFIC ETF)	A	Dividend	K	T					
42. - VANGUARD INTL EQUITY INDEX FUND (FORMERLY INTL EMG MKT VIPERS)	A	Dividend	J	T					
43. - ISHARES CORE US AGGREGATE BOND	B	Dividend			Buy (add'l)	06/02/17	J		
44.					Sold	08/31/17	M		
45. - METROPOLITAN WEST TOTAL RETURN CLASS I	B	Dividend	L	T	Sold (part)	08/31/17	K		
46. - BAIRD CORE PLUS BOND INSTITUTIONAL	A	Dividend	L	T	Buy	08/31/17	L		
47. - ISHARES TR US TREAS BD ETD	A	Dividend	L	T	Buy	08/31/17	L		
48. IRA #4 (H)									

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	
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49. - EATON VANCE GLOBAL MACRO ABSOLUTE RETURN	B	Dividend			Sold	08/03/17	L		
50.			K	T	Buy	11/01/17	K		
51. - ISHARES CORE US AGGREGATE BOND	B	Dividend			Sold	08/03/17	M		
52. - PIMCO ALL ASSET ALL AUTHORITY I	B	Dividend	L	T	Sold (part)	08/03/17	L		
53.					Buy (add'l)	11/01/17	K		
54. - BBH CORE SELECT FUND N					Sold	08/03/17	L	D	
55. - VANGUARD TOTAL INTL STOCK INDEX INV					Sold	08/03/17	K	D	
56. - SCHWAB US TREASURY MONEY FUND	A	Dividend	K	T					
57. - HAMLIN HIGH DIVIDEND EQUITY INSTL	B	Dividend			Sold	08/03/17	M	E	
58. - BLACKROCK STRAT INCM OPPTY PORT INSTL (FORMERLY FDS II STRG OPP IN)	C	Dividend			Sold	08/03/17	M		
59.			K	T	Buy	11/01/17	K		
60. - ISHARES TR S&P SMLCAP 600	A	Dividend			Sold	08/03/17	J	B	
61. - VANGUARD EUROPE PACIFIC ETF	B	Dividend			Sold	08/03/17	L	D	
62. - VANGUARD INTL EMG MKT VIPERS	A	Dividend			Sold	08/03/17	K	C	
63. - METROPOLITAN WEST TOTAL RETURN BOND	B	Dividend			Sold	08/03/17	L		
64.			L	T	Buy	11/01/17	L		

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65. - ISHARES US TREASURY BOND ETF	A	Dividend	M	T	Buy	11/01/17	M		
66. - BAIRD CORE PLUS BD INST	A	Dividend	L	T	Buy	11/01/17	L		
67. - SCHWAB S&P 500 INDEX FD	C	Dividend	N	T	Buy	11/01/17	N		
68. - VANGUARD TOTAL INTL STK INDEX ADMIRAL	B	Dividend	M	T	Buy	11/01/17	M		
69. RETIREMENT ACCOUNT #1 (H)									
70. - VANGUARD INSTITUTIONAL INDEX FUND	D	Dividend	O	T					
71. - VANGUARD LIFESTRATEGY MODERATE GROWTH FUND	A	Dividend			Buy (add'l)	01/13/17	J		
72.					Buy (add'l)	01/26/17	J		
73.					Buy (add'l)	02/09/17	J		
74.					Buy (add'l)	02/24/17	J		
75.					Buy (add'l)	03/10/17	J		
76.					Buy (add'l)	03/24/17	J		
77.					Buy (add'l)	04/07/17	J		
78.					Buy (add'l)	04/21/17	J		
79.					Buy (add'l)	05/04/17	J		
80.					Buy (add'l)	05/19/17	J		
81.					Buy (add'l)	06/01/17	J		

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82.					Buy (add'l)	06/16/17	J		
83.					Buy (add'l)	06/29/17	J		
84.					Buy (add'l)	07/13/17	J		
85.					Buy (add'l)	07/28/17	J		
86.					Buy (add'l)	08/10/17	J		
87.					Buy (add'l)	08/25/17	J		
88.					Buy (add'l)	09/08/17	J		
89.					Buy (add'l)	09/25/17	J		
90.					Buy (add'l)	10/06/17	J		
91.					Buy (add'l)	10/20/17	J		
92.					Buy (add'l)	11/03/17	J		
93.					Buy (add'l)	11/17/17	J		
94.					Buy (add'l)	12/01/17	J		
95.					Sold	12/14/17	K		
96. - VANGUARD BD INDEX FD TOT BD PTF INS	D	Dividend	O	T					
97. - VANGUARD TOTAL INTL STOCK INDEX INSTL	B	Dividend	K	T					
98. - VANGUARD INSTITUTIONAL TARGET RETIREMENT 2020 FUND	A	Dividend	K	T	Buy	12/14/17	K		

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99.					Buy (add'l)	12/15/17	J		
100.					Buy (add'l)	12/29/17	J		
101. RETIREMENT ACCOUNT #2 (H)									
102. - TIAA REAL ESTATE		None	K	T					
103. - VANGUARD TOTAL INTL STOCK INDEX INSTL	D	Dividend	N	T					
104. CITIBANK JOINT CHECKING ACCOUNT	A	Interest	J	T					
105. 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	

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Chapman, Shelley C.

Date of Report

04/23/2019

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

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Chapman, Shelley C.

Date of Report

04/23/2019

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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One Columbus Circle, N.E.
Washington, D.C. 20544