

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2015

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 10/31/2016
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 01/01/2015 to 12/31/2015
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.		

FINANCIAL DISCLOSURE REPORT

Page 2 of 11

Name of Person Reporting

Chapman, Shelley C.

Date of Report

10/31/2016

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. 2015	UNITED STATES JUDGES	\$264,671.67
2. 2015	MATTHEW BENDER & CO, INC.	\$3,400.00
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. 2015	MEMORIAL SLOAN-KETTERING CANCER CENTER, WAGES
2. 2015	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.				

FINANCIAL DISCLOSURE REPORT

Page 3 of 11

Name of Person Reporting

Chapman, Shelley C.

Date of Report

10/31/2016

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.	CHARLES SCHWAB CORPORATION	MARGIN LOAN	L
2.			
3.			
4.			
5.			

FINANCIAL DISCLOSURE REPORT

Page 4 of 11

Name of Person Reporting

Chapman, Shelley C.

Date of Report

10/31/2016

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. - BBH CORE SELECT FUND N	A	Dividend	K	T	Sold (part)	06/16/15	J	A	
3. - HAMLIN HIGH DIVIDEND EQUITY INSTL	B	Dividend	K	T					
4. - ISHARES TR S&P SMLCAP 600	A	Dividend	J	T	Buy	12/10/15	J		
5. - SCHWAB CAP TR S&P 500 INVS SELECT SHARES	A	Dividend	J	T	Sold (part)	06/16/15	J	C	
6. - VANGUARD TOTAL INTL STOCK INDEX INV	A	Dividend	J	T	Sold (part)	06/16/15	J	B	
7. - YACHTMAN FOCUSED INSTL		None			Sold (part)	06/16/15	J		
8.					Sold	12/10/15	M		
9. - WELLS FARGO FDS TR ADINT TXAMTF I	A	Dividend			Buy	02/19/15	K		
10.					Sold	06/16/15	K		
11. - VANGUARD S&P 500 ETF	A	Dividend	L	T	Buy	12/10/15	L		
12. - SCHWAB U.S. TREASURY MONEY FUND (Y)									
13. IRA #1 (H)									
14. - ISHARES CORE US AGGREGATE BOND (FORMERLY ISHARES TR LEHMAN AGG BND)	A	Dividend	K	T					
15. - SCHWAB CAP TR S&P 500 INVS SELECT SHARES	B	Dividend	K	T					
16. - GOLDMAN SACHS TR STRG INCM INST	A	Dividend	J	T	Buy	02/19/15	J		

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		

FINANCIAL DISCLOSURE REPORT

Page 5 of 11

Name of Person Reporting

Chapman, Shelley C.

Date of Report

10/31/2016

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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 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. - SCHWAB U.S. TREASURY MONEY FUND		None	J	T					
18. IRA #2 (H)									
19. - PIMCO ALL ASSET ALL AUTHORITY I	A	Dividend	J	T					
20. - SCHWAB US TREAS MONEY FD		None	J	T					
21. - VANGUARD TOTAL INTL STOCK INDEX INV		None			Sold	01/15/15	M	E	
22. - ISHARES TR S&P SMLCAP 600	A	Dividend	J	T	Buy	12/16/15	J		
23. - VANGUARD S&P 500 ETF	A	Dividend	K	T	Buy	12/16/15	K		
24. - VANGUARD EUROPE PACIFIC ETF	A	Dividend	J	T	Buy	12/16/15	J		
25. - VANGUARD INTL EMG MKT VIPERS	A	Dividend	J	T	Buy	12/16/15	J		
26. - VANGUARD TOTAL INTL STOCK INDEX ADMIRAL	D	Dividend	N	T	Buy	01/15/15	M		
27.					Buy (add'l)	01/20/15	L		
28. - BLACKROCK FDS II STRG OPP INSTL	A	Dividend	K	T	Buy	02/20/15	K		
29. - MUTUAL DISCOVERY FD CL Z	A	Dividend			Buy	01/20/15	K		
30.					Sold	12/11/15	K		
31. IRA #3 (H)									
32. - EATON VANCE GLOBAL MACRO ABSOLUTE RETURN	C	Dividend	K	T					
33. - BBH CORE SELECT FUND N	C	Dividend	K	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

Page 6 of 11

Name of Person Reporting

Chapman, Shelley C.

Date of Report

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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)

34. - FIDELITY CONCORD STR SP US EQT ADV	C	Dividend	M	T					
35. - SCHWAB CAP TR S&P 500 INVS SELECT SHARES	A	Dividend	K	T					
36. - WELLS FARGO FDS TR ADINT TXAMTF 1	A	Dividend			Sold	02/19/15	M	B	
37. - FIDELITY CASH RESERVES	A	Dividend	K	T					
38. - PIMCO ALL ASSET ALL AUTHORITY I	A	Dividend	K	T					
39. - FIDELITY TREASURY FUND DAILY MONEY CLASS	A	Dividend	J	T					
40. - ISHARES TR S&P SMLCAP 600	A	Dividend	J	T	Buy	12/11/15	J		
41. - VANGUARD S&P 500 ETF	A	Dividend	K	T	Buy	12/11/15	K		
42. - VANGUARD EUROPE PACIFIC ETF	A	Dividend	J	T	Buy	12/11/15	J		
43. - VANGUARD INTL EMG MKT VIPERS	A	Dividend	J	T	Buy	12/11/15	J		
44. - GOLDMAN SACHS TR STRG INCM INST	B	Dividend	K	T	Buy	02/19/15	K		
45. - ISHARES CORE US AGGREGATE BOND	B	Dividend	L	T	Buy	02/19/15	L		
46. - MUTUAL DISCOVERY FD CL Z	A	Dividend			Buy	01/20/15	K		
47.					Sold	12/11/15	K		
48. IRA #4 (H)									
49. - EATON VANCE GLOBAL MACRO ABSOLUTE RETURN	C	Dividend	L	T					
50. - ISHARES CORE US AGGREGATE BOND	C	Dividend	M	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 \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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FINANCIAL DISCLOSURE REPORT

Page 7 of 11

Name of Person Reporting

Chapman, Shelley C.

Date of Report

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	(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)
51. - PIMCO ALL ASSET ALL AUTHORITY I	C	Dividend	L	T					
52. - BBH CORE SELECT FUND N (FORMERLY BBH FD INC CORE SL RETAIL)	A	Dividend	L	T	Buy (add'l)	01/20/15	L		
53. - VANGUARD TOTAL INTL STOCK INDEX INV	A	Dividend	K	T					
54. - SCHWAB US TREASURY MONEY FUND		None	K	T					
55. - HAMLIN HIGH DIVIDEND EQUITY INSTL	C	Dividend	M	T					
56. - BLACKROCK FDS II STRG OPP INSTL	B	Dividend	L	T	Buy (add'l)	02/19/15	K		
57. - GOLDMAN SACHS TR STRG INCM INST	B	Dividend	L	T					
58. - MUTUAL DISCOVERY FD CL Z	A	Dividend			Sold	12/11/15	M		
59. - ISHARES TR S&P SMLCAP 600	A	Dividend	J	T	Buy	12/11/15	J		
60. - VANGUARD S&P 500 ETF	A	Dividend	M	T	Buy	12/11/15	M		
61. - VANGUARD EUROPE PACIFIC ETF	A	Dividend	L	T	Buy	12/11/15	L		
62. - VANGUARD INTL EMG MKT VIPERS	A	Dividend	J	T	Buy	12/11/15	J		
63. RETIREMENT ACCOUNT #1 (H)									
64. - VANGUARD INSTITUTIONAL INDEX FUND (X)	D	Dividend	O	T					
65. - VANGUARD LIFESTRATEGY MODERATE GROWTH FUND (X)	B	Dividend	K	T	Buy (add'l)	01/15/15	J		
66.					Buy (add'l)	01/29/15	J		

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FINANCIAL DISCLOSURE REPORT

Page 8 of 11

Name of Person Reporting

Chapman, Shelley C.

Date of Report

10/31/2016

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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)
67.					Buy (add'l)	02/12/15	J		
68.					Buy (add'l)	02/27/15	J		
69.					Buy (add'l)	03/12/15	J		
70.					Buy (add'l)	03/26/15	J		
71.					Buy (add'l)	04/09/15	J		
72.					Buy (add'l)	04/23/15	J		
73.					Buy (add'l)	05/07/15	J		
74.					Buy (add'l)	05/21/15	J		
75.					Buy (add'l)	06/05/15	J		
76.					Buy (add'l)	06/18/15	J		
77.					Buy (add'l)	07/02/15	J		
78.					Buy (add'l)	07/16/15	J		
79.					Buy (add'l)	07/30/15	J		
80.					Buy (add'l)	08/13/15	J		
81.					Buy (add'l)	08/28/15	J		
82.					Buy (add'l)	09/11/15	J		
83.					Buy (add'l)	09/24/15	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
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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

Page 9 of 11

Name of Person Reporting

Chapman, Shelley C.

Date of Report

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84.					Buy (add'l)	10/09/15	J		
85.					Buy (add'l)	10/23/15	J		
86.					Buy (add'l)	11/06/15	J		
87.					Buy (add'l)	11/20/15	J		
88.					Buy (add'l)	12/03/15	J		
89.					Buy (add'l)	12/18/15	J		
90.					Buy (add'l)	12/31/15	J		
91. - VANGUARD BD INDEX FD TOT BD PTF INS (X)	D	Dividend	N	T					
92. RETIREMENT ACCOUNT #2 (H)									
93. - VANGUARD LIFESTRATEGY MODERATE GROWTH (X)	D	Dividend	M	T					
94. - TIAA REAL ESTATE (X)		None	K	T					
95. CITIBANK JOINT CHECKING ACCOUNT	A	Interest	J	T					
96. PRUDENTIAL WHOLE LIFE INSURANCE POLICY		None	L	T					

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FINANCIAL DISCLOSURE REPORT

Page 10 of 11

Name of Person Reporting

Chapman, Shelley C.

Date of Report

10/31/2016

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

RETIREMENT ACCOUNT #1 ON LINE 63 WAS TITLED TIAA-CREF ANNUITIES ON LINE 63 OF THE PREVIOUS REPORT. RETIREMENT ACCOUNT #2 ON LINE 92 WAS TITLED MSK CANCER CENTER GROUP SUPPLEMENTAL RETIREMENT ANNUITIES ON LINE 64 OF THE PREVIOUS REPORT. BOTH OF THESE ACCOUNTS REPRESENT EMPLOYER SPONSORED RETIREMENT PLANS WHICH WERE PREVIOUSLY FUNDED WITH ANNUITIES. IN A PRIOR YEAR THE INVESTMENT ADVISOR TRANSFERRED THE ASSETS FROM ANNUITY CONTRACTS TO INVESTMENT FUNDS, BUT DID NOT CHANGE THE NAME OF THE ACCOUNTS. THUS, WE DID NOT REALIZE THAT THESE ACCOUNTS HELD REPORTABLE ASSETS.

FINANCIAL DISCLOSURE REPORT

Page 11 of 11

Name of Person Reporting

Chapman, Shelley C.

Date of Report

10/31/2016

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
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544