

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2014

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 07/07/2015
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 01/01/2014 to 12/31/2014
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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1. 2014	UNITED STATES JUDGES	\$182,487.33
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. 2014	MEMORIAL SLOAN-KETTERING CANCER CENTER, WAGES
2. 2014	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.		
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			Sold	01/07/14	J		
3. -SCHWAB S&P 500 INDEX FUND		None			Sold	01/07/14	J	A	
4. -VANGUARD STAR FD INTL STK INDXFD		None			Sold	01/07/14	J	A	
5. -GOLDMAN SACHS TR STRG INCM INST	A	Dividend			Sold	01/07/14	J	A	
6. -HAMLIN HIGH DIVIDEND EQUITY INSTL					Sold	01/07/14	J	A	
7. Brokerage Account #1 (H)									
8. -BBH CORE SELECT FUND N	B	Dividend	L	T					
9. -DRIEHAUS MUT FDS ACTIVE INCOME	A	Dividend			Sold	11/05/14	K		
10. -HAMLIN HIGH DIVIDEND EQUITY INSTL	C	Dividend	K	T	Buy	11/05/14	K		
11. -SCHWAB CAP TR S&P 500 INVS SELECT SHARES	A	Dividend	K	T					
12. -VANGUARD TOTAL INTL STOCK INDEX INV	A	Dividend	K	T					
13. -YACHTMAN FOCUSED INSTL	D	Dividend	M	T					
14. -SCHWAB U.S. TREASURY MONEY FUND		None	K	T					
15. IRA #1 (H)									
16. -ISHARES TR LEHMAN AGG BND	A	Dividend	K	T					
17. -SCHWAB CAP TR S&P 500 INVS SELECT SHARES	A	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 H = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 I = More than \$5,000,000	E = \$15,001 - \$50,000 J = More than \$50,000,000
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	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)

18. -SCHWAB U.S. TREASURY MONEY FUND		None	J	T					
19. IRA #2 (H)									
20. -PIMCO ALL ASSET ALL AUTHORITY I	A	Dividend	J	T					
21. -PIMCO FDS UNCSTR BD INST	B	Dividend			Sold	09/26/14	M		
22. - SCHWAB US TREAS MONEY FD		None	M	T					
23. -VANGUARD TOTAL INTL STOCK INDEX INV	D	Dividend	M	T					
24. IRA #3 (H)									
25. - DRIEHAUS ACTIVE INCOME FUND	B	Dividend			Sold	11/05/14	L		
26. - EATON VANCE GLOBAL MACRO ABSOLUTE RETURN	B	Dividend	L	T					
27. - BBH CORE SELECT FUND N	B	Dividend	L	T					
28. - FIDELITY CONCORD STR SP US EQT ADV	C	Dividend	M	T					
29. - SCHWAB CAP TR S&P 500 INVS SELECT SHARES	A	Dividend	K	T					
30. -WELLS FARGO FDS TR ADINT TXAMTF I	C	Dividend	M	T					
31. - FIDELITY CASH RESERVES	A	Dividend	L	T					
32. -PIMCO ALL ASSET ALL AUTHORITY I	B	Dividend	K	T					
33. -FIDELITY TREASURY FUND DAILY MONEY CLASS (X)	A	Dividend	J	T					
34. 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 \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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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)

35. - EATON VANCE GLOBAL MACRO ABSOLUTE RETURN	B	Dividend	L	T	Buy (add'l)	07/23/14	L		
36.					Sold (part)	11/05/14	K		
37. - ISHARES CORE US AGGREGATE BOND	C	Dividend	M	T					
38. - PIMCO ALL ASSET ALL AUTHORITY I	B	Dividend	L	T	Sold (part)	11/05/14	M		
39. - SCHWAB CAP TR S&P INVS SELECT SHARES		None			Sold	07/23/14	M	E	
40. - BBH FD INC CORE SL RETAIL	A	Dividend	K	T					
41. - VANGUARD TOTAL INL STOCK INDEX INV	A	Dividend	K	T					
42. - SCHWAB US TREASURY MONEY FUND		None	L	T					
43. - HAMLIN HIGH DIVIDEN EQUITY INSTL	D	Dividend	M	T	Buy (add'l)	11/05/14	K		
44. - BLACKROCK FDS II STRG OPP INSTL	C	Dividend	L	T	Sold (part)	11/05/14	L	B	
45. - GOLDMAN SACHS TR STRG INCM INST	A	Dividend	L	T	Buy	11/05/14	L		
46. - DRIEHAUS MUT FDS ACTIVE INCOME	A	Dividend			Buy	07/23/14	K		
47.					Sold	11/05/14	K		
48. - MUTUAL DISCOVERY FD CL Z	D	Dividend	M	T	Buy	11/05/14	M		
49. TIAA-CREF Annuities		None	P1	T					
50. MSK Cancer Center Group Supplemental Retirement Annuities		None	M	T					
51. CITIBANK JOINT CHECKING ACCOUNT	A	Interest	J	T					

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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 \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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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)

52. PRUDENTIAL WHOLE LIFE INSURANCE POLICY		None	L	T					
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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

PART VII, LINE 37 - ISHARES CORE US AGGREGATE BOND WAS NAMED ISHARES TR LEHMAN AGG BND IN 2013.

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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