

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2018

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 01/29/2020
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 01/01/2018 to 12/31/2018
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 12

Name of Person Reporting

Chapman, Shelley C.

Date of Report

01/29/2020

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.		
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. 2018	MEMORIAL SLOAN-KETTERING CANCER CENTER, WAGES
2. 2018	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 12

Name of Person Reporting
Chapman, Shelley C.

Date of Report
01/29/2020

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.		

FINANCIAL DISCLOSURE REPORT

Page 4 of 12

Name of Person Reporting

Chapman, Shelley C.

Date of Report

01/29/2020

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. - ISHARES TR S&P SMLCAP 600	A	Dividend	J	T					
3. - SCHWAB CAP TR S&P 500 INVS SELECT SHARES	A	Dividend	K	T					
4. - VANGUARD TOTAL INTL STOCK INDEX INV	A	Dividend			Sold	11/12/18	J	A	
5. - VANGUARD S&P 500 ETF	B	Dividend	K	T	Sold (part)	06/28/18	J	C	
6.					Sold (part)	11/12/18	L	E	
7. - SCHWAB U.S. TREASURY MONEY FUND (Y)									
8. - SCHWAB BANK (X)	A	Interest	J	T					
9. IRA #1 (H)									
10. - SCHWAB CAP TR S&P 500 INVS SELECT SHARES	B	Dividend	L	T					
11. - PIMCO ALL ASSET ALL AUTHORITY CL INST	A	Dividend			Sold	09/25/18	J	A	
12. - SCHWAB U.S. TREASURY MONEY FUND (Y)									
13. - ISHARES CORE US TREASURY BOND ETF	A	Dividend	J	T					
14. - BAIRD CORE PLUS BD INST	A	Dividend	J	T					
15. - METROPOLITAN WEST TOTAL RETURN BOND FUND I	A	Dividend	J	T					
16. - SCHWAB CHARLES FAMILY VALUE ADVANTAGE (X)	A	Dividend	J	T					
17. - SCHWAB BANK (X)	A	Interest	J	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	
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 5 of 12

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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)

18. IRA #2 (H)									
19. - PIMCO ALL ASSET ALL AUTHORITY I	A	Dividend			Sold	06/27/18	K	A	
20. - SCHWAB US TREAS MONEY FD (Y)									
21. - ISHARES TR S&P SMLCAP 600	A	Dividend	J	T					
22. - VANGUARD S&P 500 ETF	A	Dividend	K	T					
23. - BLACKROCK STRAT INCM OPPTY PORT INSTL (FORMERLY FDS II STRG OPP INS)	B	Dividend			Sold (part)	06/27/18	L		
24.					Sold	09/25/18	L		
25. - EATON VANCE GLOBAL MACRO ABSOLUTE RETURN	B	Dividend			Sold	06/27/18	L		
26. - METROPOLITAN WEST TOTAL RETURN BOND FUND	A	Dividend	J	T					
27. - ISHARES US TREASURY BOND ETF	A	Dividend	J	T					
28. - BAIRD CORE PLUS BD INST	A	Dividend			Sold	06/27/18	J		
29. - WESTERN ASSET MACRO OPPORTUNITIES I	A	Dividend			Buy	06/27/18	L		
30.					Sold	09/25/18	L		
31. - SCHWAB CHARLES FAMILY VALUE ADVANTAGE (X)	B	Dividend	M	T					
32. - POLEN GROWTH	B	Dividend	L	T	Buy	09/25/18	L		
33. - EATON VANCE GLOBAL MACRO ABS RETURN ADV I	A	Dividend			Buy	06/27/18	L		

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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FINANCIAL DISCLOSURE REPORT

Page 6 of 12

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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)
34.					Sold	09/25/18	L		
35. - HAMLIN HIGH DIVIDEND EQUITY INSTL	A	Dividend	L	T	Buy	09/25/18	L		
36. - SCHWAB BANK (X)	A	Interest	J	T					
37. IRA #3 (H)									
38. - EATON VANCE GLOBAL MACRO ABSOLUTE RETURN	A	Dividend			Sold	06/27/18	L		
39. - BBH CORE SELECT FUND N	A	Dividend			Sold	05/03/18	K	D	
40. - FIDELITY 500 INDEX FUND (FORMERLY FIDELITY 500 INDEX PREMIUM CLASS)	C	Dividend	M	T					
41. - SCHWAB CAP TR S&P 500 INVS SELECT SHARES	B	Dividend	L	T					
42. - FIDELITY TREASURY MONEY MARKET FUND	A	Dividend	K	T					
43. - PIMCO ALL ASSET ALL AUTHORITY I	A	Dividend			Sold	06/27/18	K		
44. - ISHARES TR S&P SMLCAP 600	A	Dividend	J	T	Buy (add'l)	05/03/18	J		
45. - VANGUARD INDEX FDS (FORMERLY S&P 500 ETF)	A	Dividend	K	T					
46. - VANGUARD FTSE DEV MARKET ETF (FORMERLY EUROPE PACIFIC ETF)	A	Dividend			Sold	11/12/18	J	B	
47. - VANGUARD INTL EQUITY INDEX FUND (FORMERLY INTL EMG MKT VIPERS)	A	Dividend			Sold	11/12/18	J	A	
48. - METROPOLITAN WEST TOTAL RETURN CLASS I	B	Dividend	L	T					
49. - BAIRD CORE PLUS BOND INSTITUTIONAL	B	Dividend	L	T					

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		
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FINANCIAL DISCLOSURE REPORT

Page 7 of 12

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01/29/2020

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50. - ISHARES TR US TREAS BD ETF	B	Dividend	L	T					
51. - HAMLIN HIGH DIVIDEND EQUITY INSTL FD	A	Dividend	J	T	Buy	11/12/18	J		
52. - ISHARES S&P 500 INDEX	A	Dividend	K	T	Buy	05/03/18	K		
53. - POLEN GROWTH	A	Dividend	J	T	Buy	11/12/18	J		
54. - FIDELITY MONEY MARKET PREMIUM CLASS (X)	B	Dividend	L						
55. IRA #4 (H)									
56. - EATON VANCE GLOBAL MACRO ABSOLUTE RETURN	A	Dividend			Sold	06/27/18	K		
57. - PIMCO ALL ASSET ALL AUTHORITY I	B	Dividend			Sold (part)	06/27/18	J	A	
58.					Sold	09/25/18	L		
59. - SCHWAB US TREASURY MONEY FUND (Y)									
60. - BLACKROCK STRAT INCM OPPTY PORT INSTL (FORMERLY FDS II STRG OPP IN)	A	Dividend			Sold	06/27/18	K		
61. - METROPOLITAN WEST TOTAL RETURN BOND	B	Dividend			Sold	06/27/18	L		
62. - ISHARES US TREASURY BOND ETF	A	Dividend	K	T	Sold (part)	06/27/18	L		
63. - BAIRD CORE PLUS BD INST	B	Dividend			Sold	06/27/18	L		
64. - SCHWAB S&P 500 INDEX FD	C	Dividend	N	T					
65. - VANGUARD TOTAL INTL STK INDEX ADMIRAL	C	Dividend			Sold (part)	09/25/18	L		

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FINANCIAL DISCLOSURE REPORT

Page 8 of 12

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66.					Sold	11/12/18	K		
67. - HAMLIN HIGH DIVIDEND EQUITY INSTL	A	Dividend	L	T	Buy	09/25/18	L		
68.					Buy (add'l)	11/12/18	K		
69. - POLEN GROWTH	B	Dividend	L	T	Buy	09/25/18	L		
70.					Buy (add'l)	11/12/18	K		
71. - SCHWAB CHARLES FAMILY VALUE ADVANTAGE (X)	C	Dividend	N	T					
72. - SCHWAB BANK (X)	A	Interest	K	T					
73. RETIREMENT ACCOUNT #1 (H)									
74. - VANGUARD INSTITUTIONAL INDEX FUND	D	Dividend			Sold	10/17/18	O	G	
75. - VANGUARD BD INDEX FD TOT BD PTF INS	D	Dividend	O	T					
76. - VANGUARD TOTAL INTL STOCK INDEX INSTL	B	Dividend	L	T					
77. - VANGUARD INSTITUTIONAL TARGET RETIREMENT 2020 FUND	A	Dividend	L	T	Buy (add'l)	01/12/18	J		
78.					Buy (add'l)	01/26/18	J		
79.					Buy (add'l)	02/09/18	J		
80.					Buy (add'l)	02/23/18	J		
81.					Buy (add'l)	03/08/18	J		
82.					Buy (add'l)	03/23/18	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 = \$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 9 of 12

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83.					Buy (add'l)	04/06/18	J		
84.					Buy (add'l)	04/20/18	J		
85.					Buy (add'l)	05/04/18	J		
86.					Buy (add'l)	05/18/18	J		
87.					Buy (add'l)	06/01/18	J		
88.					Buy (add'l)	06/15/18	J		
89.					Buy (add'l)	06/29/18	J		
90.					Buy (add'l)	07/13/18	J		
91.					Buy (add'l)	07/27/18	J		
92.					Buy (add'l)	08/10/18	J		
93.					Buy (add'l)	08/23/18	J		
94.					Buy (add'l)	09/07/18	J		
95.					Buy (add'l)	09/21/18	J		
96.					Buy (add'l)	10/05/18	J		
97.					Buy (add'l)	10/17/18	J		
98.					Buy (add'l)	11/02/18	J		
99.					Buy (add'l)	11/16/18	J		

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FINANCIAL DISCLOSURE REPORT

Page 10 of 12

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100.					Buy (add'l)	11/30/18	J		
101.					Buy (add'l)	12/17/18	J		
102.					Buy (add'l)	12/28/18	J		
103. - VANGUARDINSTL INDX FD INSTL PLUS	C	Dividend	O	T	Buy	10/17/18	O		
104. RETIREMENT ACCOUNT #2 (H)									
105. - TIAA REAL ESTATE		None	K	T					
106. - VANGUARD TOTAL INTL STOCK INDEX INSTL	D	Dividend	M	T	Sold (part)	11/14/18	M		
107. - VANGUARD INSTL INDX FD INSTL PLUS	A	Dividend	L	T	Buy	11/14/18	M		
108. CITIBANK JOINT CHECKING ACCOUNT	A	Interest	J	T					
109. PRUDENTIAL WHOLE LIFE INSURANCE POLICY		None	L	T					
110.									

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 11 of 12

Name of Person Reporting

Chapman, Shelley C.

Date of Report

01/29/2020

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

FINANCIAL DISCLOSURE REPORT

Page 12 of 12

Name of Person Reporting

Chapman, Shelley C.

Date of Report

01/29/2020

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