

# FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2016

Report Required by the Ethics  
in Government Act of 1978  
(5 U.S.C. app. §§ 101-111)

|                                                                                                                                                                                                           |                                                                                                                                                                                                                                                                                          |                                                                  |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------|
| <b>1. Person Reporting</b> (last name, first, middle initial)<br><br>Chapman, Shelley C.                                                                                                                  | <b>2. Court or Organization</b><br><br>U.S. Bankruptcy Court, Southern District of New York                                                                                                                                                                                              | <b>3. Date of Report</b><br><br>07/21/2017                       |
| <b>4. Title</b> (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)<br><br>Bankruptcy Judge                                                              | <b>5a. Report Type</b> (check appropriate type)<br><input type="checkbox"/> Nomination <input type="checkbox"/> Date<br><input type="checkbox"/> Initial <input checked="" type="checkbox"/> Annual <input type="checkbox"/> Final<br><b>5b.</b> <input type="checkbox"/> Amended Report | <b>6. Reporting Period</b><br><br>01/01/2016<br>to<br>12/31/2016 |
| <b>7. Chambers or Office Address</b><br><br>U.S. Bankruptcy Court, Southern District of NY<br>One Bowling Green<br>Room 632<br>New York, NY 10004                                                         |                                                                                                                                                                                                                                                                                          |                                                                  |
| <p align="center"><b>IMPORTANT NOTES:</b> The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.</p> |                                                                                                                                                                                                                                                                                          |                                                                  |

## 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><br>(yours, not spouse's) |
|-------------|------------------------|----------------------------------------|
| 1. 2016     | UNITED STATES JUDGES   | \$186,698.66                           |
| 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. 2016     | MEMORIAL SLOAN-KETTERING CANCER CENTER, WAGES |
| 2. 2016     | 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.)*

|    | <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        | None              |
| 2. |                            |                    |                   |
| 3. |                            |                    |                   |
| 4. |                            |                    |                   |
| 5. |                            |                    |                   |

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Name of Person Reporting

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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.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 1. Brokerage Account #1 (H)                                                                                                 |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 2. - BBH CORE SELECT FUND N                                                                                                 |                                         | None                                          |                                                 |                                           | Sold                                            | 09/28/16                | L                               | B                              |                                                                   |
| 3. - HAMLIN HIGH DIVIDEND EQUITY<br>INSTL                                                                                   | A                                       | Dividend                                      | K                                               | T                                         | Sold<br>(part)                                  | 04/12/16                | J                               |                                |                                                                   |
| 4. - ISHARES TR S&P SMLCAP 600                                                                                              | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 5. - SCHWAB CAP TR S&P 500 INVS<br>SELECT SHARES                                                                            | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 6. - VANGUARD TOTAL INTL STOCK<br>INDEX INV                                                                                 | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 7. - VANGUARD S&P 500 ETF                                                                                                   | B                                       | Dividend                                      | M                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 8. - U.S. Treasury Note .625%                                                                                               |                                         | None                                          | K                                               | T                                         | Buy                                             | 06/29/16                | K                               |                                |                                                                   |
| 9. - SCHWAB U.S. TREASURY MONEY<br>FUND (X)                                                                                 |                                         | None                                          | J                                               |                                           |                                                 |                         |                                 |                                |                                                                   |
| 10. IRA #1 (H)                                                                                                              |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 11. - ISHARES CORE US AGGREGATE<br>BOND (FORMERLY ISHARES TR<br>LEHMAN AGG BND)                                             | A                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 12. - SCHWAB CAP TR S&P 500 INVS<br>SELECT SHARES                                                                           | B                                       | Dividend                                      | L                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 13. - GOLDMAN SACHS TR STRG INCM<br>INST                                                                                    | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 04/12/16                | J                               |                                |                                                                   |
| 14. - PIMCO ALL ASSET ALL AUTHORITY<br>CL INST                                                                              | A                                       | Dividend                                      | K                                               | T                                         | Buy                                             | 04/12/16                | J                               |                                |                                                                   |
| 15. - SCHWAB U.S. TREASURY MONEY<br>FUND                                                                                    |                                         | None                                          | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 16. IRA #2 (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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Name of Person Reporting

Chapman, Shelley C.

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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.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |

|                                                |   |          |   |   |             |          |   |   |  |
|------------------------------------------------|---|----------|---|---|-------------|----------|---|---|--|
| 17. - PIMCO ALL ASSET ALL AUTHORITY I          | A | Dividend | L | T | Buy (add'l) | 12/27/16 | L |   |  |
| 18. - SCHWAB US TREAS MONEY FD                 |   | None     | J | T |             |          |   |   |  |
| 19. - ISHARES TR S&P SMLCAP 600                | A | Dividend | J | T |             |          |   |   |  |
| 20. - VANGUARD S&P 500 ETF                     | A | Dividend | K | T |             |          |   |   |  |
| 21. - VANGUARD EUROPE PACIFIC ETF              | A | Dividend | J | T |             |          |   |   |  |
| 22. - VANGUARD INTL EMG MKT VIPERS             | A | Dividend | J | T |             |          |   |   |  |
| 23. - VANGUARD TOTAL INTL STOCK INDEX ADMIRAL  | D | Dividend |   |   | Sold        | 12/27/16 | N | E |  |
| 24. - BLACKROCK FDS II STRG OPP INSTL          | A | Dividend | M | T | Buy (add'l) | 12/27/16 | L |   |  |
| 25. - EATON VANCE GLOBAL MACRO ABSOLUTE RETURN | A | Dividend | L | T | Buy         | 12/27/16 | L |   |  |
| 26. - METROPOLITAN WEST TOTAL RETURN BOND FUND | A | Dividend | J | T | Buy         | 04/12/16 | J |   |  |
| 27. IRA #3 (H)                                 |   |          |   |   |             |          |   |   |  |
| 28. - EATON VANCE GLOBAL MACRO ABSOLUTE RETURN | B | Dividend | L | T | Buy (add'l) | 04/12/16 | J |   |  |
| 29. - BBH CORE SELECT FUND N                   | A | Dividend | K | T |             |          |   |   |  |
| 30. - FIDELITY CONCORD STR SP US EQT ADV       | B | Dividend | M | T | Sold (part) | 04/12/16 | L | E |  |
| 31. - SCHWAB CAP TR S&P 500 INVS SELECT SHARES | B | Dividend | L | T |             |          |   |   |  |
| 32. - FIDELITY CASH RESERVES (Y)               |   |          |   |   |             |          |   |   |  |
| 33. - FIDELITY TREASURY MONEY MARKET FUND (X)  |   |          | J | T |             |          |   |   |  |

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

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Name of Person Reporting

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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.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 34. - PIMCO ALL ASSET ALL AUTHORITY I                                                                                       | A                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 35. - FIDELITY TREASURY FUND DAILY MONEY CLASS                                                                              |                                         |                                               | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 36. - ISHARES TR S&P SMLCAP 600                                                                                             | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 37. - VANGUARD S&P 500 ETF                                                                                                  | A                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 38. - VANGUARD EUROPE PACIFIC ETF                                                                                           | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 39. - VANGUARD INTL EMG MKT VIPERS                                                                                          | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 40. - GOLDMAN SACHS TR STRG INCM INST                                                                                       | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 04/12/16                | K                               |                                |                                                                   |
| 41. - ISHARES CORE US AGGREGATE BOND                                                                                        | B                                       | Dividend                                      | L                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 42. - METROPOLITAN WEST TOTAL RETURN CLASS I                                                                                | B                                       | Dividend                                      | M                                               | T                                         | Buy                                             | 04/12/16                | M                               |                                |                                                                   |
| 43. IRA #4 (H)                                                                                                              |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 44. - EATON VANCE GLOBAL MACRO ABSOLUTE RETURN                                                                              | B                                       | Dividend                                      | L                                               | T                                         | Buy (add'l)                                     | 04/12/16                | J                               |                                |                                                                   |
| 45. - ISHARES CORE US AGGREGATE BOND                                                                                        | C                                       | Dividend                                      | M                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 46. - PIMCO ALL ASSET ALL AUTHORITY I                                                                                       | C                                       | Dividend                                      | M                                               | T                                         | Buy (add'l)                                     | 04/12/16                | K                               |                                |                                                                   |
| 47. - BBH CORE SELECT FUND N (FORMERLY BBH FD INC CORE SL RETAIL)                                                           | A                                       | Dividend                                      | L                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 48. - VANGUARD TOTAL INTL STOCK INDEX INV                                                                                   | A                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 49. - SCHWAB US TREASURY MONEY FUND                                                                                         |                                         | None                                          | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |

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

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☐ NONE (No reportable income, assets, or transactions.)

| A.<br>Description of Assets<br>(including trust assets)<br><br>Place "X" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|---------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                           | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |

|                                                  |   |          |   |   |             |          |   |   |  |
|--------------------------------------------------|---|----------|---|---|-------------|----------|---|---|--|
| 50. - HAMLIN HIGH DIVIDEND EQUITY INSTL          | C | Dividend | M | T |             |          |   |   |  |
| 51. - BLACKROCK FDS II STRG OPP INSTL            | C | Dividend | M | T | Buy (add'l) | 04/12/16 | K |   |  |
| 52. - GOLDMAN SACHS TR STRG INCM INST            | A | Dividend |   |   | Sold        | 04/12/16 | L |   |  |
| 53. - ISHARES TR S&P SMLCAP 600                  | A | Dividend | J | T |             |          |   |   |  |
| 54. - VANGUARD S&P 500 ETF                       | A | Dividend |   |   | Sold        | 04/12/16 | M | B |  |
| 55. - VANGUARD EUROPE PACIFIC ETF                | A | Dividend | L | T |             |          |   |   |  |
| 56. - VANGUARD INTL EMG MKT VIPERS               | A | Dividend | J | T |             |          |   |   |  |
| 57. - METROPOLITAN WEST TOTAL RETURN BOND        | B | Dividend | L | T | Buy         | 04/12/16 | L |   |  |
| 58. RETIREMENT ACCOUNT #1 (H)                    |   |          |   |   |             |          |   |   |  |
| 59. - VANGUARD INSTITUTIONAL INDEX FUND          | D | Dividend | O | T |             |          |   |   |  |
| 60. - VANGUARD LIFESTRATEGY MODERATE GROWTH FUND | A | Dividend | J | T | Buy (add'l) | 01/15/16 | J |   |  |
| 61.                                              |   |          |   |   | Buy (add'l) | 01/28/16 | J |   |  |
| 62.                                              |   |          |   |   | Buy (add'l) | 02/11/16 | J |   |  |
| 63.                                              |   |          |   |   | Buy (add'l) | 02/29/16 | J |   |  |
| 64.                                              |   |          |   |   | Buy (add'l) | 03/10/16 | J |   |  |
| 65.                                              |   |          |   |   | Buy (add'l) | 03/28/16 | J |   |  |
| 66.                                              |   |          |   |   | Buy (add'l) | 04/07/16 | J |   |  |

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

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Chapman, Shelley C.

Date of Report

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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.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |

|     |  |  |  |  |                |          |   |  |  |
|-----|--|--|--|--|----------------|----------|---|--|--|
| 67. |  |  |  |  | Buy<br>(add'l) | 04/21/16 | J |  |  |
| 68. |  |  |  |  | Buy<br>(add'l) | 05/05/16 | J |  |  |
| 69. |  |  |  |  | Buy<br>(add'l) | 05/19/16 | J |  |  |
| 70. |  |  |  |  | Buy<br>(add'l) | 06/03/16 | J |  |  |
| 71. |  |  |  |  | Buy<br>(add'l) | 06/16/16 | J |  |  |
| 72. |  |  |  |  | Buy<br>(add'l) | 06/30/16 | J |  |  |
| 73. |  |  |  |  | Buy<br>(add'l) | 07/15/16 | J |  |  |
| 74. |  |  |  |  | Sold<br>(part) | 07/21/16 | L |  |  |
| 75. |  |  |  |  | Buy<br>(add'l) | 07/28/16 | J |  |  |
| 76. |  |  |  |  | Buy<br>(add'l) | 08/11/16 | J |  |  |
| 77. |  |  |  |  | Buy<br>(add'l) | 08/25/16 | J |  |  |
| 78. |  |  |  |  | Buy<br>(add'l) | 09/09/16 | J |  |  |
| 79. |  |  |  |  | Buy<br>(add'l) | 09/22/16 | J |  |  |
| 80. |  |  |  |  | Buy<br>(add'l) | 10/06/16 | J |  |  |
| 81. |  |  |  |  | Buy<br>(add'l) | 10/20/16 | J |  |  |
| 82. |  |  |  |  | Buy<br>(add'l) | 11/03/16 | J |  |  |
| 83. |  |  |  |  | Buy<br>(add'l) | 11/17/16 | J |  |  |

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

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Chapman, Shelley C.

Date of Report

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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.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 84.                                                                                                                         |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 12/02/16                | J                               |                                |                                                                   |
| 85.                                                                                                                         |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 12/16/16                | J                               |                                |                                                                   |
| 86.                                                                                                                         |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 12/29/16                | J                               |                                |                                                                   |
| 87. - VANGUARD BD INDEX FD TOT BD<br>PTF INS                                                                                | D                                       | Dividend                                      | O                                               | T                                         | Sold<br>(part)                                  | 02/03/16                | J                               |                                |                                                                   |
| 88. - VANGUARD TOTAL INTL STOCK<br>INDEX INSTL                                                                              | A                                       | Dividend                                      | L                                               | T                                         | Buy                                             | 07/21/16                | L                               |                                |                                                                   |
| 89. RETIREMENT ACCOUNT #2 (H)                                                                                               |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 90. - VANGUARD LIFESTRATEGY<br>MODERATE GROWTH                                                                              | B                                       | Dividend                                      |                                                 |                                           | Sold                                            | 07/21/16                | M                               |                                |                                                                   |
| 91. - TIAA REAL ESTATE                                                                                                      |                                         | None                                          | K                                               | T                                         | Buy<br>(add'l)                                  | 12/28/16                | J                               |                                |                                                                   |
| 92. - VANGUARD TOTAL INTL STOCK<br>INDEX INSTL                                                                              | C                                       | Dividend                                      | M                                               | T                                         | Buy                                             | 07/21/16                | M                               |                                |                                                                   |
| 93. CITIBANK JOINT CHECKING<br>ACCOUNT                                                                                      | A                                       | Interest                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 94. PRUDENTIAL WHOLE LIFE<br>INSURANCE POLICY                                                                               |                                         | None                                          | L                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |

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

**FINANCIAL DISCLOSURE REPORT**

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Name of Person Reporting

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

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Name of Person Reporting

Chapman, Shelley C.

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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