

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2019

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 07/27/2020
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 01/01/2019 to 12/31/2019
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. _____	_____
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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Name of Person Reporting

Chapman, Shelley C.

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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.		
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. 2019	MEMORIAL SLOAN-KETTERING CANCER CENTER, WAGES
2. 2019	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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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 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	J	T					
4. - VANGUARD TOTAL INTL STOCK INDEX INV	A	Dividend			Sold (part)	07/07/19	J	D	
5.					Sold (part)	12/04/19	J	A	
6. - VANGUARD S&P 500 ETF	A	Dividend			Sold	07/17/19	K	D	
7. - SCHWAB BANK (Y)									
8. IRA #1 (H)									
9. - SCHWAB CAP TR S&P 500 INVS SELECT SHARES					Sold (part)	07/17/19	K	E	
10.					Sold (part)	07/22/19	J	A	
11.					Sold	12/04/19	K	E	
12. - ISHARES CORE US TREASURY BOND ETF	A	Dividend			Buy (add'l)	02/22/19	J		
13.					Sold	12/04/19	K	B	
14. - BAIRD CORE PLUS BD INST	A	Dividend	J	T					
15. - METROPOLITAN WEST TOTAL RETURN BOND FUND I	A	Dividend			Sold	06/06/19	J		
16. - SCHWAB CHARLES FAMILY VALUE ADVANTAGE (Y)									
17. - SCHWAB BANK (Y)									

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	

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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)
18. - POLEN GROWTH FD INST CL	A	Dividend	L	T	Buy	12/04/19	L		
19. IRA #2 (H)									
20. - ISHARES TR S&P SMLCAP 600	A	Dividend	J	T					
21. - VANGUARD S&P 500 ETF	A	Dividend			Sold	12/04/19	K	D	
22. - METROPOLITAN WEST TOTAL RETURN BOND FUND	B	Dividend			Buy (add'l)	02/22/19	M		
23.					Sold	06/06/19	M	C	
24. - ISHARES US TREASURY BOND ETF	A	Dividend			Sold	12/04/19	K	A	
25. - BAIRD CORE PLUS BD INST	B	Dividend	L	T	Buy	02/22/19	K		
26.					Buy (add'l)	06/06/19	L		
27. - SCHWAB CHARLES FAMILY VALUE ADVANTAGE (Y)									
28. - POLEN GROWTH	A	Dividend	M	T	Buy (add'l)	12/04/19	K		
29. - INVESCO TAXABLE MUNICIPAL BOND ETF	B	Dividend	L	T	Buy	06/06/19	L		
30. - HAMLIN HIGH DIVIDEND EQUITY INSTL	B	Dividend	L	T					
31. - SCHWAB BANK	A	Interest	J	T					
32. IRA #3 (H)									
33. - FIDELITY 500 INDEX FUND	B	Dividend			Sold	12/04/19	M	F	
34. - SCHWAB CAP TR S&P 500 INVS SELECT SHARES					Sold	12/04/19	L	E	

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

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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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
35. - FIDELITY TREASURY MONEY MARKET FUND	A	Dividend	J	T					
36. - ISHARES TR S&P SMLCAP 600	A	Dividend	J	T					
37. - VANGUARD INDEX FDS	A	Dividend			Sold	12/04/19	K	D	
38. - METROPOLITAN WEST TOTAL RETURN CLASS I	B	Dividend			Buy (add'l)	02/22/19	K		
39.					Sold	06/06/19	L	A	
40. - BAIRD CORE PLUS BOND INSTITUTIONAL	C	Dividend	M	T	Buy (add'l)	02/22/19	K		
41.					Buy (add'l)	06/06/19	K		
42. - PIONEER STRATEGIC INCOME FD CL Y	A	Dividend	M	T	Buy	12/04/19	M		
43. - INVESCO EXCHNG TRADED FD TR II	B	Dividend	L	T	Buy	06/06/19	L		
44. - ISHARES TR US TREAS BD ETF	B	Dividend			Sold	12/04/19	L	B	
45. - HAMLIN HIGH DIVIDEND EQUITY INSTL FD	C	Dividend	N	T	Buy (add'l)	12/04/19	N		
46. - ISHARES S&P 500 INDEX	A	Dividend			Sold	12/04/19	K	D	
47. - POLEN GROWTH	A	Dividend	K	T	Buy (add'l)	12/04/19	K		
48. - FIDELITY MONEY MARKET PREMIUM CLASS (Y)									
49. IRA #4 (H)									
50. - ISHARES US TREASURY BOND ETF	B	Dividend			Buy (add'l)	02/22/19	M		
51.					Sold	12/14/19	M	D	

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52. - BAIRD CORE PLUS BD INST	D	Dividend	M	T	Buy	02/22/19	M		
53. - SCHWAB S&P 500 INDEX FD	A	Dividend	M	T	Sold (part)	07/17/19	K	C	
54.					Sold (part)	07/22/19	L	D	
55.					Sold (part)	12/04/19	M	E	
56. - PIONEER STRATEGIC INCOME FD CL Y	A	Dividend	M	T	Buy	12/04/19	M		
57. - HAMLIN HIGH DIVIDEND EQUITY INSTL	B	Dividend	L	T					
58. - POLEN GROWTH	A	Dividend	M	T	Buy (add'l)	12/04/19	M		
59. - SCHWAB CHARLES FAMILY VALUE ADVANTAGE (Y)									
60. - SCHWAB BANK (X)	A	Interest	J	T					
61. RETIREMENT ACCOUNT #1 (H)									
62. - VANGUARD BD INDEX FD TOT BD PTF INS	E	Dividend	O	T					
63. - VANGUARD TOTAL INTL STOCK INDEX INSTL	C	Dividend	L	T					
64. - VANGUARD INSTITUTIONAL TARGET RETIREMENT 2020 FUND	C	Dividend	M	T	Buy (add'l)	01/11/19	J		
65.					Buy (add'l)	01/25/19	J		
66.					Buy (add'l)	02/08/19	J		
67.					Buy (add'l)	02/22/19	J		
68.					Buy (add'l)	03/08/19	J		

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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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
69.					Buy (add'l)	03/22/19	J		
70.					Buy (add'l)	04/05/19	J		
71.					Buy (add'l)	04/22/19	J		
72.					Buy (add'l)	05/03/19	J		
73.					Buy (add'l)	05/17/19	J		
74.					Buy (add'l)	05/31/19	J		
75.					Buy (add'l)	06/14/19	J		
76.					Buy (add'l)	06/28/19	J		
77.					Buy (add'l)	07/12/19	J		
78.					Buy (add'l)	07/26/19	J		
79.					Buy (add'l)	08/09/19	J		
80.					Buy (add'l)	08/23/19	J		
81.					Buy (add'l)	09/06/19	J		
82.					Buy (add'l)	09/20/19	J		
83.					Buy (add'l)	10/04/19	J		
84.					Buy (add'l)	10/18/19	J		
85.					Buy (add'l)	11/01/19	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	

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

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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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
86.					Buy (add'l)	11/15/19	J		
87.					Buy (add'l)	12/02/19	J		
88.					Buy (add'l)	12/13/19	J		
89.					Buy (add'l)	12/26/19	J		
90. - VANGUARDINSTL INDX FD INSTL PLUS	E	Dividend	O	T					
91. RETIREMENT ACCOUNT #2 (H)									
92. - TIAA REAL ESTATE		None	K	T					
93. - VANGUARD TOTAL INTL STOCK INDEX INSTL	D	Dividend	M	T					
94. - VANGUARD INSTL INDX FD INSTL PLUS	C	Dividend	M	T					
95. CITIBANK JOINT CHECKING ACCOUNT	A	Interest	J	T					
96. PRUDENTIAL WHOLE LIFE INSURANCE POLICY		None	L	T					
97.									

1 Income Gain Codes:
(See Columns B1 and D4)

2 Value Codes
(See Columns C1 and D3)

3 Value Method Codes
(See Column C2)

A =\$1,000 or less
F =\$50,001 - \$100,000
J =\$15,000 or less
N =\$250,001 - \$500,000
P3 =\$25,000,001 - \$50,000,000
Q =Appraisal
U =Book Value

B =\$1,001 - \$2,500
G =\$100,001 - \$1,000,000
K =\$15,001 - \$50,000
O =\$500,001 - \$1,000,000
R =Cost (Real Estate Only)
V =Other

C =\$2,501 - \$5,000
H1 =\$1,000,001 - \$5,000,000
L =\$50,001 - \$100,000
P1 =\$1,000,001 - \$5,000,000
P4 =More than \$50,000,000
S =Assessment
W =Estimated

D =\$5,001 - \$15,000
H2 =More than \$5,000,000
M =\$100,001 - \$250,000
P2 =\$5,000,001 - \$25,000,000
T =Cash Market

E =\$15,001 - \$50,000

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

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