

# FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2020

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

|                                                                                                                                                                                                           |                                                                                                                                                                                                                                                                                          |                                                                  |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------|
| <b>1. Person Reporting (last name, first, middle initial)</b><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>07/29/2021                       |
| <b>4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)</b><br><br>Bankruptcy Judge                                                              | <b>5a. Report Type (check appropriate type)</b><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>01/01/2020<br>to<br>12/31/2020 |
| <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.)

| <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. _____    | _____                    |

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Chapman, Shelley C.

Date of Report

07/29/2021

## 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.          |                        |                                        |
| 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. 2020     | MEMORIAL SLOAN-KETTERING CANCER CENTER, WAGES |
| 2. 2020     | 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.            |              |                 |                |                               |

|                          |                |
|--------------------------|----------------|
| Name of Person Reporting | Date of Report |
| Chapman, Shelley C.      | 07/29/2021     |

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.       |             |            |

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)                                    | (2)                                    | (1)                                            | (2)                                | (1)                                       | (2)              | (3)                      | (4)                     | (5)                                                        |
|                                                                                                                            | Amount<br>Code 1<br>(A-H)              | Type (e g ,<br>div , rent,<br>or int ) | Value<br>Code 2<br>(J-P)                       | Value<br>Method<br>Code 3<br>(Q-W) | Type (e g ,<br>buy, sell,<br>redemption)  | Date<br>mm/dd/yy | Value<br>Code 2<br>(J-P) | Gain<br>Code 1<br>(A-H) | Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 1. Brokerage Account #1 (H)                                                                                                |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 2. - ISHARES TR S&P SMLCAP 600                                                                                             |                                        | None                                   |                                                |                                    | Sold                                      | 01/17/20         | J                        | C                       |                                                            |
| 3. - SCHWAB CAP TR S&P 500 INVS<br>SELECT SHARES                                                                           |                                        | None                                   |                                                |                                    | Sold                                      | 01/17/20         | J                        | C                       |                                                            |
| 4. - SCHWAB BANK (X)                                                                                                       | A                                      | Interest                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 5. IRA #1 (H)                                                                                                              |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 6. - BAIRD CORE PLUS BD INST                                                                                               | D                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 7. - SCHWAB BANK (X)                                                                                                       | A                                      | Interest                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 8. - POLEN GROWTH FD INST CL                                                                                               |                                        | None                                   |                                                |                                    | Sold                                      | 03/25/20         | L                        |                         |                                                            |
| 9. - JOHCM INTERNATIONAL SEL                                                                                               | B                                      | Dividend                               | L                                              | T                                  | Buy                                       | 09/28/20         | L                        |                         |                                                            |
| 10. IRA #2 (H)                                                                                                             |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 11. - ISHARES TR S&P SMLCAP 600                                                                                            | A                                      | Dividend                               |                                                |                                    | Sold                                      | 03/25/20         | J                        |                         |                                                            |
| 12. - BAIRD CORE PLUS BD INST                                                                                              | C                                      | Dividend                               | L                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 13. - POLEN GROWTH                                                                                                         |                                        |                                        |                                                |                                    | Sold                                      | 03/25/20         | L                        |                         |                                                            |
| 14. - INVESCO TAXABLE MUNICIPAL<br>BOND ETF                                                                                | C                                      | Dividend                               | M                                              | T                                  | Buy                                       | 03/30/20         | L                        |                         |                                                            |
| 15. - HAMLIN HIGH DIVIDEND EQUITY<br>INSTL                                                                                 |                                        |                                        |                                                |                                    | Sold                                      | 03/18/20         | K                        |                         |                                                            |
| 16. - POLEN GLOBAL GROWTH INST                                                                                             |                                        |                                        | L                                              | T                                  | Buy                                       | 09/28/20         | K                        |                         |                                                            |
| 17. - SCHWAB BANK                                                                                                          | A                                      | Interest                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |

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

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Chapman, Shelley C.

Date of Report

07/29/2021

## 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) |
| 18. IRA #3 (H)                                                                                                             |                                        |                                               |                                                |                                           |                                                 |                         |                                 |                                |                                                                   |
| 19. - FIDELITY TREASURY MONEY<br>MARKET FUND (Y)                                                                           |                                        |                                               |                                                |                                           |                                                 |                         |                                 |                                |                                                                   |
| 20. - PNC BANK (X)                                                                                                         | A                                      | Interest                                      | J                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 21. - ISHARES TR S&P SMLCAP 600                                                                                            | A                                      | Dividend                                      |                                                |                                           | Sold                                            | 03/25/20                | J                               |                                |                                                                   |
| 22. - BAIRD CORE PLUS BOND<br>INSTITUTIONAL                                                                                | D                                      | Dividend                                      | N                                              | T                                         | Buy<br>(add'l)                                  | 07/10/20                | M                               |                                |                                                                   |
| 23. - PIONEER STRATEGIC INCOME FD CL<br>Y                                                                                  | B                                      | Dividend                                      |                                                |                                           | Sold                                            | 07/10/20                | M                               |                                |                                                                   |
| 24. - INVESCO EXCHNG TRADED FD TR II                                                                                       | C                                      | Dividend                                      | M                                              | T                                         | Buy<br>(add'l)                                  | 03/30/20                | L                               |                                |                                                                   |
| 25.                                                                                                                        |                                        |                                               |                                                |                                           | Buy<br>(add'l)                                  | 07/10/20                | L                               |                                |                                                                   |
| 26. - HAMLIN HIGH DIVIDEND EQUITY<br>INSTL FD                                                                              |                                        |                                               |                                                |                                           | Sold                                            | 03/24/20                | M                               |                                |                                                                   |
| 27. - POLEN GROWTH                                                                                                         |                                        |                                               |                                                |                                           | Sold                                            | 03/25/20                | K                               |                                |                                                                   |
| 28. - SPDR SER TR S&P DIVID ETF                                                                                            | B                                      | Dividend                                      | M                                              | T                                         | Buy                                             | 12/01/20                | J                               |                                |                                                                   |
| 29.                                                                                                                        |                                        |                                               |                                                |                                           | Buy<br>(add'l)                                  | 12/02/20                | M                               |                                |                                                                   |
| 30. IRA #4 (H)                                                                                                             |                                        |                                               |                                                |                                           |                                                 |                         |                                 |                                |                                                                   |
| 31. - BAIRD CORE PLUS BD INST                                                                                              | D                                      | Dividend                                      | M                                              | T                                         | Buy<br>(add'l)                                  | 05/14/20                | M                               |                                |                                                                   |
| 32.                                                                                                                        |                                        |                                               |                                                |                                           | Buy<br>(add'l)                                  | 06/17/20                | K                               |                                |                                                                   |
| 33.                                                                                                                        |                                        |                                               |                                                |                                           | Buy<br>(add'l)                                  | 09/25/20                | L                               |                                |                                                                   |
| 34.                                                                                                                        |                                        |                                               |                                                |                                           | Sold<br>(part)                                  | 09/29/20                | J                               | A                              |                                                                   |

|                                                 |                                                                                    |                                                      |                                                                                        |                                                            |                        |
|-------------------------------------------------|------------------------------------------------------------------------------------|------------------------------------------------------|----------------------------------------------------------------------------------------|------------------------------------------------------------|------------------------|
| 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

Chapman, Shelley C.

Date of Report

07/29/2021

## 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)                                    | (2)                                    | (1)                                            | (2)                                | (1)                                       | (2)              | (3)                      | (4)                     | (5)                                                        |
|                                                                                                                            | Amount<br>Code 1<br>(A-H)              | Type (e g ,<br>div , rent,<br>or int ) | Value<br>Code 2<br>(J-P)                       | Value<br>Method<br>Code 3<br>(Q-W) | Type (e g ,<br>buy, sell,<br>redemption)  | Date<br>mm/dd/yy | Value<br>Code 2<br>(J-P) | Gain<br>Code 1<br>(A-H) | Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 35.                                                                                                                        |                                        |                                        |                                                |                                    | Sold<br>(part)                            | 12/02/20         | N                        | E                       |                                                            |
| 36. - SCHWAB S&P 500 INDEX FD                                                                                              |                                        |                                        |                                                |                                    | Sold<br>(part)                            | 02/18/20         | L                        | E                       |                                                            |
| 37.                                                                                                                        |                                        |                                        |                                                |                                    | Sold                                      | 03/25/20         | K                        |                         |                                                            |
| 38. - PIONEER STRATEGIC INCOME FD CL<br>Y                                                                                  | C                                      | Dividend                               |                                                |                                    | Sold                                      | 09/25/20         | M                        |                         |                                                            |
| 39. - HAMLIN HIGH DIVIDEND EQUITY<br>INSTL                                                                                 |                                        |                                        |                                                |                                    | Sold                                      | 03/18/20         | K                        |                         |                                                            |
| 40. - POLEN GROWTH                                                                                                         |                                        |                                        |                                                |                                    | Sold                                      | 03/25/20         | M                        |                         |                                                            |
| 41. - SCHWAB BANK                                                                                                          | A                                      | Interest                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 42. - INVESCO TAXABLE MUNICIPAL<br>BOND ETF                                                                                | B                                      | Dividend                               | L                                              | T                                  | Buy                                       | 06/17/20         | K                        |                         |                                                            |
| 43.                                                                                                                        |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 09/25/20         | L                        |                         |                                                            |
| 44. - SCHWAB US DIVIDEND EQUITY ETF                                                                                        | C                                      | Dividend                               | N                                              | T                                  | Buy                                       | 12/02/20         | N                        |                         |                                                            |
| 45. - SPDR S&P DIVIDEND ETF                                                                                                | A                                      | Dividend                               | K                                              | T                                  | Buy                                       | 12/01/20         | J                        |                         |                                                            |
| 46.                                                                                                                        |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 12/02/20         | K                        |                         |                                                            |
| 47. RETIREMENT ACCOUNT #1 (H)                                                                                              |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 48. - VANGUARD BD INDEX FD TOT BD<br>PTF INS                                                                               | E                                      | Dividend                               | O                                              | T                                  | Buy<br>(add'l)                            | 07/14/20         | N                        |                         |                                                            |
| 49. - VANGUARD TOTAL INTL STOCK<br>INDEX INSTL                                                                             | B                                      | Dividend                               |                                                |                                    | Sold                                      | 09/28/20         | L                        |                         |                                                            |
| 50. - VANGUARD INSTITUTIONAL<br>TARGET RETIREMENT 2020 FUND                                                                | B                                      | Dividend                               | L                                              | T                                  | Buy<br>(add'l)                            | 01/10/20         | J                        |                         |                                                            |
| 51.                                                                                                                        |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 01/27/20         | J                        |                         |                                                            |

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

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)                                    | (2)                                    | (1)                                            | (2)                                | (1)                                       | (2)              | (3)                      | (4)                     | (5)                                                        |
|                                                                                                                            | Amount<br>Code 1<br>(A-H)              | Type (e g ,<br>div , rent,<br>or int ) | Value<br>Code 2<br>(J-P)                       | Value<br>Method<br>Code 3<br>(Q-W) | Type (e g ,<br>buy, sell,<br>redemption)  | Date<br>mm/dd/yy | Value<br>Code 2<br>(J-P) | Gain<br>Code 1<br>(A-H) | Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 52.                                                                                                                        |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 02/07/20         | J                        |                         |                                                            |
| 53.                                                                                                                        |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 02/21/20         | J                        |                         |                                                            |
| 54.                                                                                                                        |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 03/06/20         | J                        |                         |                                                            |
| 55.                                                                                                                        |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 03/20/20         | J                        |                         |                                                            |
| 56.                                                                                                                        |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 04/02/20         | J                        |                         |                                                            |
| 57.                                                                                                                        |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 04/17/20         | J                        |                         |                                                            |
| 58.                                                                                                                        |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 05/01/20         | J                        |                         |                                                            |
| 59.                                                                                                                        |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 05/18/20         | J                        |                         |                                                            |
| 60.                                                                                                                        |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 05/29/20         | J                        |                         |                                                            |
| 61.                                                                                                                        |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 06/11/20         | J                        |                         |                                                            |
| 62.                                                                                                                        |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 06/26/20         | J                        |                         |                                                            |
| 63.                                                                                                                        |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 07/10/20         | J                        |                         |                                                            |
| 64.                                                                                                                        |                                        |                                        |                                                |                                    | Sold<br>(part)                            | 07/14/20         | M                        |                         |                                                            |
| 65.                                                                                                                        |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 07/23/20         | J                        |                         |                                                            |
| 66.                                                                                                                        |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 08/07/20         | J                        |                         |                                                            |
| 67.                                                                                                                        |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 08/21/20         | J                        |                         |                                                            |
| 68.                                                                                                                        |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 09/04/20         | J                        |                         |                                                            |

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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## 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)                                    | (2)                                    | (1)                                            | (2)                                | (1)                                       | (2)              | (3)                      | (4)                     | (5)                                                        |
|                                                                                                                            | Amount<br>Code 1<br>(A-H)              | Type (e g ,<br>div , rent,<br>or int ) | Value<br>Code 2<br>(J-P)                       | Value<br>Method<br>Code 3<br>(Q-W) | Type (e g ,<br>buy, sell,<br>redemption)  | Date<br>mm/dd/yy | Value<br>Code 2<br>(J-P) | Gain<br>Code 1<br>(A-H) | Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 69.                                                                                                                        |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 09/18/20         | J                        |                         |                                                            |
| 70.                                                                                                                        |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 10/02/20         | J                        |                         |                                                            |
| 71.                                                                                                                        |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 10/16/20         | J                        |                         |                                                            |
| 72.                                                                                                                        |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 10/30/20         | J                        |                         |                                                            |
| 73.                                                                                                                        |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 11/13/20         | J                        |                         |                                                            |
| 74.                                                                                                                        |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 11/25/20         | J                        |                         |                                                            |
| 75.                                                                                                                        |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 12/11/20         | J                        |                         |                                                            |
| 76.                                                                                                                        |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 12/24/20         | J                        |                         |                                                            |
| 77. - VANGUARD INSTL INDX FD INSTL PLUS                                                                                    | E                                      | Dividend                               | O                                              | T                                  | Sold<br>(part)                            | 07/14/20         | M                        |                         |                                                            |
| 78.                                                                                                                        |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 09/28/20         | L                        |                         |                                                            |
| 79. RETIREMENT ACCOUNT #2 (H)                                                                                              |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 80. - TIAA REAL ESTATE                                                                                                     |                                        | None                                   | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 81. - VANGUARD TOTAL INTL STOCK INDEX INSTL                                                                                | B                                      | Dividend                               |                                                |                                    | Sold                                      | 09/28/20         | M                        |                         |                                                            |
| 82. - VANGUARD INSTL INDX FD INSTL PLUS                                                                                    | C                                      | Dividend                               | N                                              | T                                  | Buy<br>(add'l)                            | 09/28/20         | M                        |                         |                                                            |
| 83. CITIBANK [REDACTED] CHECKING ACCOUNT                                                                                   | A                                      | Interest                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 84. PRUDENTIAL WHOLE LIFE INSURANCE POLICY                                                                                 |                                        | None                                   | L                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 85.                                                                                                                        |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |

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

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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  
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