

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2011

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 07/02/2012
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 01/01/2011 to 12/31/2011
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. Insert signature on last page.		

I. POSITIONS. (Reporting individual only; see pp. 9-13 of filing instructions.)

☐ NONE (No reportable positions.)

	<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1.	TRUSTEE	TRUST #1 (Pt. VII, Line 1)
2.		
3.		
4.		
5.		

II. AGREEMENTS. (Reporting individual only; see pp. 14-16 of filing instructions.)

☐ NONE (No reportable agreements.)

	<u>DATE</u>	<u>PARTIES AND TERMS</u>
1.	2001	WILLKIE FARR & GALLAGHER GROUP PENSION PLAN, NO CONTROL (CLOSED JANUARY 2011)
2.	2003	SIDLEY AUSTIN LLP CASH BALANCE RETIREMENT PLAN FOR PARTNERS, NO CONTROL (CLOSED JANUARY 2011)
3.		

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III. NON-INVESTMENT INCOME. *(Reporting individual and spouse; see pp. 17-24 of filing instructions.)***A. Filer's Non-Investment Income**☐ NONE *(No reportable non-investment income.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1. 2011	UNITED STATES JUDGES	\$160,080.00
2. 2011	WILLKIE FARR & GALLAGHER LLP	\$1,279.00
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. 2011	WAGES
2. 2011	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.	CITIBANK, N.A.	LINE OF CREDIT	J
2.			
3.			
4.			
5.			

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
1. Trust #1									
2. - SPDR NUVEEN BARCLAYS ST MUNI BOND ETF	A	Dividend	K	T					
3. - FAIRHOLME FUND		None			Sold (part)	03/25/11	J	A	
4.					Sold	06/15/11	J		
5. - FMI LARGE CAP FUND		None			Sold	07/27/11	J	C	
6. - LOOMIS SAYLES INVNT GRADE BOND FUND CL Y	B	Dividend	K	T					
7. - PARNASSUS FUND		None			Sold	07/27/11	J	B	
8. - SCHWAB GOVERNMENT MONEY FUND		None	L	T					
9. - MANNING & NAPIER EQUITY SERIES FUND		None			Sold	07/27/11	K	D	
10. - WESTCORE SELECT FUND		None			Sold	07/27/11	K	C	
11. - MATTHEWS ASIA DIVIDEND FUND	A	Dividend			Sold	07/27/11	J	A	
12. SCHWAB S&P 500 INDEX FUND		None			Buy	03/25/11	J		
13.					Sold	07/27/11	J		
14. SCHWAB US TREASURY MONEY FUND	A	Dividend	L	T					
15. BBH CORE SELECT FUND	A	Dividend	J	T	Buy	06/15/11	J		
16. Brokerage Account #1									
17. - ABBOTT LABS		None	K	T	Buy	11/15/11	J		

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

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

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

18.					Buy (add'l)	11/22/11	J		
19. - AMAZON COM INC		None			Sold (part)	01/28/11	J	B	
20.					Sold	04/27/11	J	D	
21. - AMGEN INC		None			Sold	01/26/11	J		
22. - APPLE INC		None	K	T	Sold (part)	04/14/11	J	A	
23.					Sold (part)	09/07/11	J	D	
24. - GOOGLE INC CLASS A		None	K	T	Sold (part)	05/17/11	J	A	
25. - VARIAN MEDICAL SYSTEMS		None	K	T	Sold (part)	04/01/11	J	B	
26.					Sold (part)	07/08/11	J	C	
27.					Buy (add'l)	08/02/11	J		
28. - ACCENTURE LTD	A	Dividend	K	T					
29. - ALLERGAN INC	A	Dividend	K	T	Sold (part)	05/23/11	J	B	
30. - BARD C R INC	A	Dividend			Sold (part)	08/16/11	J	A	
31.					Sold	11/03/11	J	B	
32. - C H ROBINSON WORLDWIDE COM	A	Dividend	K	T	Buy (add'l)	07/27/11	J		
33. - MASTERCARD INC	A	Dividend	J	T	Buy (add'l)	02/11/11	J		
34.					Buy (add'l)	04/05/11	J		

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$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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	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
35.					Sold (part)	11/21/11	J	C	
36.					Sold (part)	11/23/11	J	C	
37.					Sold (part)	11/28/11	J	C	
38. - ORACLE	A	Dividend	K	T					
39. - QUALCOMM INC	A	Dividend	K	T					
40. - STARBUCKS CORP	A	Dividend	K	T	Buy (add'l)	01/12/11	J		
41. - COACH INC	A	Dividend	K	T	Buy	01/26/11	J		
42. - T ROWE PRICE GROUP INC	A	Dividend	K	T	Buy (add'l)	07/15/11	J		
43. - MICROSOFT CORP	A	Dividend	K	T					
44. - B M C SOFTWARE INC		None			Buy	01/18/11	J		
45.					Buy (add'l)	05/09/11	J		
46.					Sold	08/03/11	J		
47. - COGNIZANT TECH SOL CL		None	J	T	Buy	02/18/11	J		
48.					Buy (add'l)	02/24/11	J		
49.					Buy (add'l)	04/01/11	J		
50.					Buy (add'l)	04/12/11	J		
51.					Buy (add'l)	05/25/11	J		

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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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52.					Buy (add'l)	08/22/11	J		
53. - INTUITIVE SURGICAL NE		None	K	T	Buy	04/11/11	J		
54.					Buy (add'l)	06/02/11	J		
55.					Buy (add'l)	08/16/11	J		
56. - FACTSET RESH SYSTEMS INC	A	Dividend	K	T	Buy	10/05/11	J		
57.					Buy (add'l)	11/14/11	J		
58.					Buy (add'l)	11/23/11	J		
59.					Buy (add'l)	12/13/11	J		
60. - INTUIT INC		None	J	T	Buy	12/21/11	J		
61. - HEMPSTEAD TOWN NY 4.5% DUE 1/15/11	A	Interest			Matured	01/15/11	K		
62. - HUNTINGTON NY UN FREE SCH DIS 5.5% DUE 7/15/12	B	Interest	K	T					
63. - NASSAU CNTY NY INTERIM FIN AUTH 5.25% DUE 11/15/15	B	Interest	K	T					
64. - NEW YORK ST 5% DUE 2/15/22	B	Interest	K	T					
65. - SMITHTOWN NY CENT SCH DIST 5% DUE 7/15/16	B	Interest	K	T					
66. - WHITE PLAINS NY 5% DUE 5/15/20	A	Interest			Matured	05/15/11	K		
67. - IVY MUNI HIGH INCM FND	A	Dividend			Sold	01/24/11	J		
68. - DOUBLELINE TOTAL RETURN FUND	A	Dividend			Sold	04/13/11	K		

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69. - RIDGEWORTH SEIX FLOATING RATE HIGH INCOME FUND	B	Dividend	K	T	Buy	01/25/11	K		
70. - SCHWAB U.S. TREASURY MONEY FUND	A	Dividend	K	T					
71. IRA #1									
72. - T ROWE PRICE CAPITAL APPRECIATION FUND	A	Dividend			Sold	12/22/11	K	B	
73. - FRANKLIN INCOME FUND ADV CL	A	Dividend			Sold	12/22/11	J		
74. - LOOMIS SAYLES INVT GRADE BOND FUND CL Y	A	Dividend	J	T					
75. - OAKMARK EQUITY & INCOME FD	A	Dividend			Sold	12/22/11	J	A	
76. - PIMCO ALL ASSET ALL AUTHORITY	A	Dividend			Sold	12/22/11	K		
77. - ISHARES TR LEHMAN AGG BND		None	K	T	Buy	12/22/11	K		
78. - SCHWAB CAP TR S&P 500 INVS SELECT SHARES		None	K	T	Buy	12/22/11	K		
79. - SCHWAB ADV CASH RESERVE PREM		None	J	T					
80. IRA #2									
81. - T ROWE PRICE CAPITAL APPRECIATION FUND		None			Distributed	07/28/11	K		
82. - BOEING CAP CORP 6.5% DUE 2/15/12	B	Interest	K	T					
83. - DREYFUS INFLATION ADJUSTED SEC INV	A	Dividend	J	T					
84. - LOOMIS SAYLES BOND FD CL I	C	Dividend	K	T					
85. - LOOMIS SAYLES INVT GRADE BOND FUND CLASS Y	A	Dividend	J	T					

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86. - RIDGEWORTH SEIX FLOATING RATE HIGH INCOME	B	Dividend	L	T	Spinoff (from line 159)	07/28/11	L		
87. - TEMPLETON INCOME TR GLB BD ADVSOR	B	Dividend	K	T	Spinoff (from line 121)	07/28/11	L		
88. - ARTIO GLOBAL HIGH INCOME FUND	C	Dividend	L	T	Spinoff (from line 110)	07/28/11	L		
89. - THIRD AVENUE FOCUSED CREDIT FUND INST	C	Dividend	L	T	Spinoff (from line 161)	07/28/11	L		
90.					Buy (add'l)	09/20/11	J		
91.					Buy (add'l)	12/20/11	J		
92. - SCHWAB ADV CASH RESERVE PREM		None			Closed	01/02/11	J		
93. - SCHWAB US TREAS MONEY FD		None	J	T	Open	01/02/11	J		
94. IRA #3									
95. - DRIEHAUS ACTIVE INCOME FUND	B	Dividend	K	T					
96. - FAIRHOLME FUND		None			Sold (part)	03/28/11	K	A	
97.					Sold	06/15/11	K		
98. - FRANKLIN INCOME ADVISOR CLASS	B	Dividend	K	T					
99. - PARNASSUS FUND		None			Sold	10/20/11	K		
100. - T ROWE PRICE CAP APPRECIATION	A	Dividend	L	T					
101. - PIMCO LOW DURATION INSTITUTIONAL FUND	B	Dividend	L	T					
102. - EATON VANCE GLOBAL MACRO ABSOLUTE RETURN	B	Dividend	L	T					

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2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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103. - WELLS FARGO INTRINSIC VALUE FUND		None			Sold	09/29/11	L	A	
104. - BBH CORE SELECT FUND N	A	Dividend	K	T	Buy	06/15/11	K		
105. - FIDELITY SPARTAN US EQUITY	B	Dividend	L	T	Buy	03/28/11	K		
106.					Buy (add'l)	09/29/11	L		
107. - SCHWAB CAP TR S&P 500 INVS SELECT SHARES	A	Dividend	K	T	Buy	10/20/11	K		
108. - FIDELITY CASH RESERVES		None	J	T					
109. IRA #4									
110. - ARTIO GLOBAL HIGH INCOME FUND	B	Dividend	J	T	Distributed (part)	07/28/11	L		
111. - EATON VANCE GLOBAL MACRO ABSOLUTE RETURN	B	Dividend	L	T	Sold (part)	05/16/11	L		
112.					Buy	07/29/11	L		
113. - FIDELITY FLOATING RATE HIGH INCOME	A	Dividend			Sold	05/16/11	L	A	
114. - MATTHEWS ASIAN FUNDS ASIAN GROWTH AND INC	A	Dividend			Sold	07/27/11	L	B	
115. - NUVEEN INVT TRADWDS VAOP R		None			Buy (add'l)	02/01/11	L		
116.					Sold (part)	03/09/11	L	A	
117.					Sold	07/27/11	L		
118. - ROYCE LOW PRICED STOCK FUND		None			Buy (add'l)	02/01/11	L		
119.					Sold (part)	07/27/11	L	C	

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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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)
120.					Sold	08/01/11	L	A	
121. - TEMPLETON INCOME TR GLB BD ADVSOR	B	Dividend			Distributed	07/28/11	L		
122. - WESTCORE SELECT FUND		None			Buy (add'l)	05/16/11	J		
123.					Sold	07/27/11	L	B	
124. - ISHARES TR LEHMAN AGG BND	A	Dividend	L	T	Buy	09/28/11	L		
125. - GREENHAVEN CONT INX FD UNIT BEN INT		None	K	T	Buy	07/29/11	K		
126. - ASTON FDS AL LASSO ALTI	A	Dividend	K	T	Buy	06/15/11	L		
127. - BBH CORE SELECT FUND N		None			Buy	06/15/11	L		
128.					Sold	07/27/11	L	B	
129. - DOUBLELINE TOTAL RETURN BOND FUND I	A	Dividend	K	T	Buy	12/22/11	K		
130. - EATON VANCE FLOATING RATE FUND	A	Dividend			Buy	02/01/11	K		
131.					Sold	05/16/11	L	A	
132. - FAIRHOLME FUND		None			Buy	02/01/11	L		
133.					Sold	06/15/11	L		
134. - FRANKLIN INCOME FUND CLASS A	B	Dividend			Buy	05/17/11	L		
135.					Sold	12/22/11	K		
136. - WASACH - 1ST SOURCE INCOME EQUITY FUND	A	Dividend			Buy	03/09/11	L		

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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)
137.					Sold	07/27/11	L		
138. - WASACH 1ST SOURCE LONG/SHORT FUND	A	Dividend			Buy	05/17/11	L		
139.					Buy (add'l)	07/29/11	L		
140.					Sold (part)	09/28/11	K		
141.					Sold	12/22/11	L		
142. - IVY ASSET STRATEGY FUND I		None			Buy	07/29/11	L		
143.					Sold	09/28/11	K		
144. - DRIEHAUS MUT FDS ACTIVE INCOME	B	Dividend	L	T	Buy	07/29/11	L		
145. - BLACKROCK GLOBAL ALLOCATION I		None			Buy	07/29/11	K		
146.					Sold	09/28/11	K		
147. - MATTHEWS ASIA DIVIDEND FUND	A	Dividend			Buy	02/01/11	L		
148.					Sold	07/27/11	L	A	
149. - PIMCO ALL ASSET ALL AUTHORITY I	C	Dividend	K	T	Buy	07/29/11	K		
150.					Buy (add'l)	12/28/11	J		
151. - POLEN GROWTH		None	L	T	Buy	12/22/11	K		
152. - T ROWE PRICE CAPITAL APPRECIATION FUND	B	Dividend			Spinoff (from line 81)	07/28/11	K		
153.					Buy (add'l)	07/29/11	L		

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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)
154.					Buy (add'l)	12/14/11	J		
155.					Sold	12/22/11	M	A	
156. - PIMCO TOTAL RETURN FUND	A	Dividend			Buy	09/28/11	K		
157.					Sold	10/21/11	K		
158. - RIDGEWORTH SEIX FLOATING RATE HIGH INCOME	B	Dividend			Buy	02/01/11	L		
159.					Distributed	07/28/11	L		
160. - SCHWAB CAP TR S&P INVS SELECT SHARES		None	L	T	Buy	12/22/11	L		
161. - THIRD AVENUE FOCUSED CREDIT FUND INST	B	Dividend			Buy	02/01/11	L		
162.					Distributed	07/28/11	L		
163. - THORNBURG INVT TR INV INCM BLD I	B	Dividend			Buy	02/01/11	L		
164.					Sold	07/27/11	L		
165. - WELLS FARGO FDS TR ADVIN TAMTF AD	A	Dividend	L	T	Buy	10/21/11	K		
166. - WELLS FARGO FDS ADINT TXAMTF I	A	Dividend	K	T	Buy	12/22/11	K		
167. - SCHWAB MONEY MARKET FUND		None			Closed	01/02/11	J		
168. - SCHWAB US TREASURY MONEY FUND	A	Dividend	L	T	Open	01/02/11	J		
169. TIAA-CREF ANNUITIES		None	O	T					
170. Cancer Center Group Supplemental Retirement Annuities		None	M	T					

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$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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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.)

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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) 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)
171. - TIAA TRADITIONAL MONEY MARKET	B	Dividend	K	T					
172. SIDLEY AUSTIN LLP CASH BALANCE RETIREMENT PLAN FOR PARTNERS		None			Distributed	01/15/11	K		
173. WILLKIE FARR & GALLAGHER GROUP PENSION PLAN		None			Distributed	01/15/11	N		
174. CITIBANK JOINT CHECKING ACCOUNT	A	Interest	J	T					
175. PRUDENTIAL WHOLE LIFE INSURANCE POLICY		None	L	T					

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
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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	

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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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One Columbus Circle, N.E.
Washington, D.C. 20544