

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2012

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 10/08/2013
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 01/01/2012 to 12/31/2012
7. Chambers or Office Address U.S. Bankruptcy Court, Southern District of NY One Bowling Green Room 632 New York, NY 10004		
IMPORTANT NOTES: The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.		

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

☐ NONE (No reportable positions.)

	<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1.	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.		
2.		
3.		

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

1. 2012

MEMORIAL SLOAN-KETTERING CANCER CENTER, WAGES

2. 2012

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.)*SOURCEDATESLOCATIONPURPOSEITEMS PAID OR PROVIDED

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 (PAID OFF APRIL 2012)	None
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 (H)									
2. - SPDR NUVEEN BARCLAYS ST MUNI BOND ETF	A	Dividend			Sold	9/7/12	K	A	
3. - SPDR S&P DIVIDEND ETF	A	Dividend	J	T	Buy	9/7/12	J		
4. - LOOMIS SAYLES INVT GRADE BOND FUND CL Y	B	Dividend			Sold (part)	9/7/12	J	C	
5.					Sold	12/31/12	K	C	
6. - SCHWAB GOVERNMENT MONEY FUND		None	K	T					
7. -SCHWAB S&P 500 INDEX FUND	A	Dividend	J	T	Buy	9/7/12	J		
8. -BBH CORE SELECT FUND	A	Dividend	J	T	Sold (part)	12/31/12	J	A	
9. - IVY MUNICIPAL HIGH INCOME FUND	A	Dividend	J	T	Buy	9/7/12	J		
10.					Sold (part)	12/31/12	J	A	
11. -WELLS FARGO FDS TR ADINT TXAMTF I	A	Dividend	J	T	Buy	9/7/12	J		
12. -JEFFRIES ASSET MGMT CMDTY STRAT ALLC I	A	Dividend	J	T	Buy	9/7/12	J		
13. -PIMCO ALL ASSET ALL AUTHORITY I	A	Dividend	J	T	Buy	9/7/12	J		
14. SCHWAB US TREASURY MONEY FUND	A	Dividend			Sold	1/31/12	L		
15. Brokerage Account #1 (H)									
16. - ABBOTT LABS	A	Dividend	K	T	Buy (add'l)	7/27/12	J		
17. - ACCENTURE LTD	A	Dividend	K	T	Sold (part)	12/20/12	J	B	

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 H = \$5,001 - \$15,000	D = \$15,001 - \$50,000 E = \$50,001 - \$100,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$250,001 - \$500,000	K = \$15,001 - \$50,000 O = \$50,001 - \$1,000,000	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	H2 = 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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18. - APPLE INC	A	Dividend	K	T	Sold (part)	2/13/12	J	C	
19.					Sold (part)	3/28/12	J	D	
20.					Sold (part)	4/3/12	J	B	
21.					Buy (add'l)	12/3/12	J		
22. - GOOGLE INC CLASS A		None	K	T					
23. - VARIAN MEDICAL SYSTEMS		None	K	T	Sold (part)	4/3/12	J	A	
24.					Sold (part)	5/14/12	J	B	
25. - ALLERGAN INC	A	Dividend	K	T					
26. - C H ROBINSON WORLDWIDE COM	A	Dividend	J	T	Buy (add'l)	2/27/12	J		
27.					Sold (part)	9/7/12	J	B	
28. - MASTERCARD INC	A	Dividend			Sold	2/7/12	J	C	
29. - ORACLE	A	Dividend	K	T	Sold (part)	12/19/12	J	B	
30. - QUALCOMM INC	A	Dividend	K	T					
31. - STARBUCKS CORP	A	Dividend	K	T	Sold (part)	2/22/12	J	C	
32.					Sold (part)	4/3/12	J	A	
33. - COACH INC	A	Dividend			Sold (part)	2/17/12	J	C	
34.					Sold (part)	7/5/12	J	B	

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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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)

35.					Sold	7/31/12	J	A	
36. - T ROWE PRICE GROUP INC	B	Dividend	K	T					
37. - MICROSOFT CORP	A	Dividend	K	T	Buy (add'l)	8/20/12	J		
38. - COGNIZANT TECH SOL CL		None	K	T	Buy	5/11/12	J		
39. - INTUITIVE SURGICAL NE		None	K	T					
40. - FACTSET RESH SYSTEMS INC	A	Dividend	K	T	Buy	3/28/12	J		
41. - INTUIT INC	A	Dividend	K	T	Buy (add'l)	3/22/12	J		
42.					Buy (add'l)	9/21/12	J		
43. - NIKE INC-CL B	A	Dividend	K	T	Buy	6/12/12	J		
44.					Buy (add'l)	8/13/12	J		
45.					Buy (add'l)	11/16/12	J		
46. - WW GRAINGER INCORP	A	Dividend	J	T	Buy	10/18/12	J		
47. - HUNTINGTON NY UN FREE SCH DIS 5.5% DUE 7/15/12	B	Interest			Matured	7/15/12	K		
48. - NASSAU CNTY NY INTERIM FIN AUTH 5.25% DUE 11/15/15	B	Interest	K	T					
49. - NEW YORK ST 5% DUE 2/15/22	B	Interest			Sold	12/20/12	K	B	
50. - SMITHTOWN NY CENT SCH DIST 5% DUE 7/15/16	B	Interest	K	T					
51. - RIDGEWORTH SEIX FLOATING RATE HIGH INCOME FUND	A	Dividend			Sold	2/13/12	K		

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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52. - WELLS FARGO FDS TR ADVIN TAMTF AD	A	Dividend			Buy	2/13/12	K		
53.					Sold (part)	4/9/12	K		
54.					Sold	6/15/12	K		
55. - SCHWAB U.S. TREASURY MONEY FUND	A	Dividend	K	T					
56. IRA #1 (H)									
57. - LOOMIS SAYLES INVNT GRADE BOND FUND CL Y	A	Dividend			Sold	6/15/12	J	B	
58. - ISHARES TR LEHMAN AGG BND	A	Dividend	K	T					
59. - SCHWAB CAP TR S&P 500 INVS SELECT SHARES	A	Dividend	K	T					
60. - SCHWAB ADV CASH RESERVE PREM		None	J	T					
61. IRA #2 (H)									
62. - BOEING CAP CORP 6.5% DUE 2/15/12	A	Interest			Matured	2/15/12	K		
63. - DREYFUS INFLATION ADJUSTED SEC INV	A	Dividend			Sold	6/15/12	J	A	
64. - LOOMIS SAYLES BOND FD CL I	B	Dividend			Sold	12/7/12	L	C	
65. - LOOMIS SAYLES INVNT GRADE BOND FUND CLASS Y	A	Dividend			Sold	6/15/12	J	B	
66. - RIDGEWORTH SEIX FLOATING RATE HIGH INCOME	B	Dividend			Sold	6/15/12	L		
67. - TEMPLETON INCOME TR GLB BD ADVSOR	B	Dividend			Sold	6/15/12	L		
68. - ARTIO GLOBAL HIGH INCOME FUND	B	Dividend			Sold	6/15/12	L		

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69. - THIRD AVENUE FOCUSED CREDIT FUND INST	B	Dividend			Sold (part)	6/15/12	K		
70.					Sold	12/7/12	K		
71. - SCHWAB US TREAS MONEY FD		None	M	T					
72. - VANGUARD TOTAL INTL STOCK INDEX INV	C	Dividend	M	T	Buy	6/18/12	M		
73. IRA #3 (H)									
74. - DRIEHAUS ACTIVE INCOME FUND	B	Dividend	L	T					
75. - FRANKLIN INCOME ADVISOR CLASS	A	Dividend			Sold	6/15/12	K		
76. - T ROWE PRICE CAP APPRECIATION		None			Sold	6/15/12	L	D	
77. - PIMCO LOW DURATION INSTITUTIONAL FUND	A	Dividend			Sold	6/15/12	L	A	
78. - EATON VANCE GLOBAL MACRO ABSOLUTE RETURN	B	Dividend	L	T					
79. - BBH CORE SELECT FUND N	A	Dividend	K	T					
80. - FIDELITY CONCORD STR SP US EQT ADV	B	Dividend	M	T					
81. - SCHWAB CAP TR S&P 500 INVS SELECT SHARES	A	Dividend	K	T					
82. -WELLS FARGO FDS TR ADINT TXAMTF 1	B	Dividend	M	T	Buy	6/15/12	M		
83. - FIDELITY CASH RESERVES		None	K	T					
84. IRA #4 (H)									
85. - ARTIO GLOBAL HIGH INCOME FUND	A	Dividend							

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86. - EATON VANCE GLOBAL MACRO ABSOLUTE RETURN	B	Dividend			Sold	6/15/12	L		
87. - ISHARES TR LEHMAN AGG BND	C	Dividend	M	T	Buy (add'l)	2/10/12	M		
88.					Sold (part)	6/15/12	L	B	
89. - GREENHAVEN CONT INX FD UNIT BEN INT		None			Buy (add'l)	1/17/12	K		
90.					Sold	6/27/12	L		
91. - ASTON FDS AL LASSO ALTI		None			Sold	1/17/12	K		
92. - DOUBLELINE TOTAL RETURN BOND FUND I	C	Dividend			Sold	12/7/12	L	B	
93. - DRIEHAUS MUT FDS ACTIVE INCOME	A	Dividend			Sold	6/15/12	L		
94. - PIMCO ALL ASSET ALL AUTHORITY I	C	Dividend	L	T					
95. - POLEN GROWTH		None			Sold	6/15/12	L	C	
96. - SCHWAB CAP TR S&P INVS SELECT SHARES	C	Dividend	M	T	Buy (add'l)	1/17/12	K		
97.					Buy (add'l)	2/9/12	J		
98.					Buy (add'l)	6/15/12	K		
99. - WELLS FARGO FDS TR ADVIN TAMTF AD	A	Dividend			Sold	2/10/12	L	B	
100. - WELLS FARGO FDS ADINT TXAMTF I	A	Dividend			Sold	2/10/12	K	A	
101. -BBH FD INC CORE SL RETAIL	A	Dividend	K	T	Buy	1/17/12	K		
102. - WELLS FARGO ULTRA ST MUNICIPAL INCOME	A	Dividend	M	T	Buy	6/15/12	M		

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103. - JEFFRIES ASSET MGMT CMDTY STRAT ALLC I	A	Dividend	L	T	Buy	6/27/12	L		
104. - VANGUARD TOTAL INL STOCK INDEX INV	A	Dividend	K	T	Buy	1/17/12	K		
105. - TEMPLETON INCOME TR GLB BD ADVSOR	A	Dividend			Buy	6/15/12	K		
106.					Sold	12/7/12	K	C	
107. - SCHWAB US TREASURY MONEY FUND			M	T					
108. TIAA-CREF Annuities		None	O	T					
109. MSK Cancer Center Group Supplemental Retirement Annuities		None	M	T					
110. - TIAA TRADITIONAL MONEY MARKET	B	Dividend	K	T					
111. CITIBANK JOINT CHECKING ACCOUNT	A	Interest	J	T					
112. 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
2. Value Codes (See Columns C1 and D3)	J ~\$15,000 or less N ~\$250,001 - \$500,000	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	P4 ~More than \$50,000,000
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Chapman, Shelley C.

Date of Report

10/08/2013

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

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Chapman, Shelley C.

Date of Report

10/08/2013

IX. CERTIFICATION.

I certify that all information given above (including information pertaining to my spouse and minor or dependent children, if any) is accurate, true, and complete to the best of my knowledge and belief, and that any information not reported was withheld because it met applicable statutory provisions permitting non-disclosure.

I further certify that earned income from outside employment and honoraria and the acceptance of gifts which have been reported are in compliance with the provisions of 5 U.S.C. app. § 501 et. seq., 5 U.S.C. § 7353, and Judicial Conference regulations.

Signature: s/ Shelley C. Chapman

NOTE: ANY INDIVIDUAL WHO KNOWINGLY AND WILLFULLY FALSIFIES OR FAILS TO FILE THIS REPORT MAY BE SUBJECT TO CIVIL AND CRIMINAL SANCTIONS (5 U.S.C. app. § 104)

Committee on Financial Disclosure
Administrative Office of the United States Courts
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Washington, D.C. 20544