

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2016

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) McHugh, Carolyn B.	2. Court or Organization 10th Circuit Court of Appeals	3. Date of Report 09/21/2017
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Full Time - Appellate Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☒ Amended Report	6. Reporting Period 01/01/2016 to 12/31/2016
7. Chambers or Office Address 125 South State Street 4201 Federal Building Salt Lake City, Utah 84138-1122		
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.)

POSITION

NAME OF ORGANIZATION/ENTITY

1.		
2.		
3.		
4.		
5.		

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

☐ NONE (No reportable agreements.)

DATE

PARTIES AND TERMS

1. 2005	State of Utah - Defined Benefit Pension Plan
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. 2016

Sentry Financial Corporation - salary

2. _____

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.)*SOURCEDESCRIPTIONVALUE

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.)*CREDITORDESCRIPTIONVALUE CODE

1.

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. Wells Fargo Cash Accounts	A	Interest	M	T					
2. Assoc. Fed. Employees Credit Union Cash Account	A	Interest	M	T	Buy	03/01/16	L		
3. Voya Whole Life	A	Interest	L	T					
4. 401(k) #1									
5. -Investco Stable Value Fund	C	Int./Div.	M	T					
6. -Janus Triton N	C	Int./Div.	M	T	Buy	11/15/16	M		
7. -Oak Ridge Small Cap Growth Y	D	Int./Div.			Sold	11/15/16	M		
8. -Virtus Real Estate Securities 1	E	Int./Div.	M	T					
9. -American Funds Washington Mut. R5	E	Int./Div.	N	T					
10. -Black Rock Equity Dividend Inst 1	E	Int./Div.	M	T					
11. -JP Morgan Large Cap Growth R5	E	Int./Div.	M	T					
12. -Mainstay Large Cap Growth-1	E	Int./Div.	M	T					
13. -American Beacon Small Cap Val Inst	D	Int./Div.	M	T					
14. -T. Rowe Price International Discove	B	Int./Div.	L	T	Buy	11/15/16	L		
15. -Columbia Acorn Int'l Z	C	Int./Div.			Sold	11/15/16	L		
16. -Franklin Mutual Global Discovery Z	D	Int./Div.	L	T					
17. -American Funds Europacific Growth R5	B	Int./Div.	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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18. -Prudential Total Return Bond Z	D	Int./Div.	M	T	Buy	03/16/16	M		
19. -PIMCO Total Return Admin	D	Int./Div.			Sold	03/16/16	M		
20. -Oppenheimer Developing Markets Y	A	Int./Div.	K	T					
21. Zions Cash Accounts	B	Interest	O	T					
22. Chase Cash Accounts	A	Interest	M	T					
23. Utah Educational Savings Plan Accounts	A	Int./Div.	J	T					
24. Health Savings Account	A	Interest	K	T					
25. Sentry 401(k) - Principal SAM Conservative Growth R3 (USD) (PCGPX)(X)	C	Int./Div.	O	T					
26. Scott F. Young IRAs									
27. -Large Cap Fund (SLGAX)	A	Int./Div.	L	T					
28. -International Equity Fund (SEITX)	A	Int./Div.	L	T					
29. -Large Cap Growth Fund (SELCX)	A	Int./Div.	K	T					
30. -Large Cap Value Fund (TRMVX)	A	Int./Div.	K	T					
31. -Small Cap Fund (SLLAX)	A	Int./Div.	K	T					
32. -Core Fixed Income Fund (TRLVX)	A	Int./Div.	K	T					
33. -Emerging Mkts Equity Fund (SEIMX)	A	Int./Div.	K	T					
34. -Real Returns Fund (SRAAX)		None	J	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 \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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35. -Multi-Strategy Alt Fund (SMSAX)	A	Int./Div.	J	T					
36. -High Yield Bond Fund (SHYAX)	A	Int./Div.	K	T					
37. -Emerging Mkts Debt Fund (SITEX)	A	Int./Div.	J	T					
38. -Prime Obligations Fund (TPPXX)	A	Int./Div.			Sold	07/22/16	J		
39. -Government Fund (SEOXX)	A	Int./Div.	J	T					
40. -Multi-Asset Accum Fund (SAAX)	A	Int./Div.	K	T					
41. -Multi-Asset Int'l Fund (SUFAX)		None	J	T					
42. -Multi-Asset Inflation Managed Fund (SIFAX)	A	Int./Div.	K	T					
43. -US Fixed Income Fund (SUFAX)	A	Int./Div.	K	T					
44. -Dynamic Asset Alloc Fund (SDYAX)	A	Int./Div.	J	T					
45. -Multi-Asset Income Fund (SIOAX)	A	Int./Div.	J	T					
46. Sentry Financial Corporation		None	P1	U					
47. Sentry Capital Co.	F	Int./Div.	M	U					
48. Sentry Investments	G	Int./Div.	P1	U					
49. Sentry Investments II	G	Int./Div.	M	U					

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

Trust #1 has been eliminated because Judge McHugh is no longer one of the trustees for her mother's estate.

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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/ Carolyn B. McHugh**

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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