

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2019

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

1. Person Reporting (last name, first, middle initial) McHugh, Carolyn B.	2. Court or Organization 10th Circuit Court of Appeals	3. Date of Report 09/21/2021
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	6. Reporting Period 01/01/2019 to 12/31/2019
	5b. ☒ Amended Report	
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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1.		
2.		
3.		
4.		

B. Spouse's Non-Investment Income - *If you were married during any portion of the reporting year, complete this section.**(Dollar amount not required except for honoraria.)*NONE *(No reportable non-investment income.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1. 2019	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.)*

<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1.				
2.				
3.				
4.				
5.				

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V. GIFTS. *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*



NONE *(No reportable gifts.)*

SOURCE

DESCRIPTION

VALUE

1.

2.

3.

4.

5.

VI. LIABILITIES. *(Includes those of spouse and dependent children; see pp. 32-33 of filing instructions.)*



NONE *(No reportable liabilities.)*

CREDITOR

DESCRIPTION

VALUE CODE

1.

2.

3.

4.

5.

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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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
1. Wells Fargo Cash Accounts	A	Interest	M	T					
2. Hercules Federal Credit Union	A	Interest	M	T					
3. Voya Whole Life	A	Interest	M	T					
4. 401(k) #1 (H)									
5. -Small Cap Fund (SLLAX)	A	Int./Div.	M	T					
6. -Mid-Cap Fund (SEMCX)	A	Int./Div.	M	T					
7.					Buy (add'l)	06/24/19	J		
8. -Multi-Asset Income Fund (SIOAX)	D	Int./Div.	M	T					
9.					Buy (add'l)	06/24/19	K		
10.					Buy (add'l)	06/24/19	L		
11. -Core Fixed Income Fund (TRLVX)	D	Int./Div.	O	T					
12.					Buy (add'l)	06/24/19	K		
13.					Sold (part)	06/24/19	L		
14. -Int'l Equity Fund (SEITX)	D	Int./Div.	N	T					
15.					Sold (part)	06/24/19	K		
16.					Sold (part)	06/24/19	K		
17. -Multi-Asset Inflation Managed Fund (SIFAX)	B	Int./Div.	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 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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☐ NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e g , div , rent, or int)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e g , buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
18. -S&P 500 Index Fund (SSPIX)	C	Int./Div.	N	T					
19. -Large Cap Fund (SLGAX)	D	Int./Div.	N	T					
20.					Sold (part)	06/24/19	L		
21.					Sold (part)	06/24/19	L		
22. -High Yield Bond (SHYAX)	C	Int./Div.	K	T					
23.					Sold (part)	06/24/19	K		
24.					Sold (part)	06/24/19	K		
25. -Multi-Strategy Alt Fun (SMSAX)	A	Int./Div.	K	T					
26. -Emerging Mkts Equity Fund (SIEMX)	B	Int./Div.	M	T					
27.					Sold (part)	06/24/19	K		
28. -Multi-Asset Accumulation Fund (SAAAX)	C	Int./Div.	M	T					
29. -Emerging Mkts Debt Fund (SITEX)	B	Int./Div.	M	T					
30.					Sold (part)	06/24/19	K		
31. -Dynamic Asset Allocation Fund (SDYAX)	A	Int./Div.	L	T					
32.					Sold (part)	06/24/19	K		
33.					Sold (part)	06/24/19	K		
34. -Government Fund (SEOXX)	A	Int./Div.	K	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	
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35.					Sold (part)	06/24/19	J		
36.					Sold (part)	06/24/19	J		
37.					Buy (add'l)	06/24/19	J		
38.					Buy (add'l)	06/24/19	J		
39. -US Mgd Volatility Fund (SVOAX)	D	Int./Div.	M	T	Buy	06/24/19	L		
40.					Buy (add'l)	06/24/19	L		
41. -Global Mgd Vol Fund (SVTAX)	D	Int./Div.	M	T	Buy	06/24/19	L		
42.					Buy (add'l)	06/24/19	K		
43. -Short Duration Govt Fund (TCSGX)	A	Int./Div.	K	T	Buy	06/24/19	K		
44. -Ultra Short Bond Fund (SECPX)	B	Int./Div.	K	T	Buy	06/24/19	K		
45. Zions Cash Accounts	D	Interest	O	T					
46. JP MORGAN Chase Accounts	D	Interest	N	T					
47. Utah Educational Savings Plan Accounts		None							
48. Health Savings Account	A	Interest	K	T					
49. SF 401(k) #1 - Principal SAM Conservative Growth R3 (USD) (PCGPX)	G	Int./Div.	O	T					
50. SFY 401(k) #2 (H)									
51. -Large Cap Fund (SLGAX)	A	Int./Div.	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 \$50,000,000	M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	
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52.					Sold (part)	06/24/19	K		
53. - Mid-Cap Fund (SEMCX)	A	Int./Div.	K	T					
54. -International Equity Fund (SEITX)	B	Int./Div.	L	T					
55.					Sold (part)	06/24/19	J		
56. -Small Cap Fund (SLLAX)	A	Int./Div.	K	T					
57. - S&P 500 Index Fund (SSPIX)	A	Int./Div.	K	T					
58. -US Mgd Volatility Fund (SVOAX)	A	Int./Div.	K	T	Buy	06/24/19	K		
59. - Global Mgd Vol Fund (SVTAX)	A	Int./Div.	K	T	Buy	06/24/19	K		
60. -Core Fixed Income Fund (TRLVX)	C	Int./Div.	M	T					
61.					Sold (part)	06/24/19	K		
62. -Emerging Mkts Equity Fund (SIEMX)	A	Int./Div.	K	T					
63.					Sold (part)	06/24/19	J		
64. -Short Duration Govt Fund (TCSGX)	A	Int./Div.	J	T	Buy	06/24/19	J		
65. -Ultra Short Bond Fund (SECPX)	A	Int./Div.	J	T	Buy	06/24/19	J		
66. -Multi-Strategy Alt Fund (SMSAX)	A	Int./Div.	J	T					
67. -High Yield Bond Fund (SHYAX)	A	Int./Div.	J	T					
68.					Sold (part)	06/24/19	J		

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69. -Emerging Mkts Debt Fund (SITEX)	A	Int./Div.	K	T					
70.					Sold (part)	06/24/19	J		
71. -Government Fund (SEOXX)	A	Int./Div.	J	T					
72.					Sold (part)	06/25/19	J		
73. -Multi-Asset Accum Fund (SAAAX)	A	Int./Div.	L	T					
74. -Multi-Asset Inflation Managed Fund (SIFAX)	A	Int./Div.	K	T					
75. -Dynamic Asset Alloc Fund (SDYAX)	A	Int./Div.	K	T					
76.					Sold (part)	06/24/19	J		
77. -Multi-Asset Income Fund (SIOAX)	B	Int./Div.	K	T					
78.					Buy (add'l)	06/24/19	K		
79. Sentry Fin'l Corparation		None	P2	U					
80. Sentry Capital Co.	E	Int./Div.	O	U					
81. Sentry Investments	D	Int./Div.	P1	U					
82. Sentry Investments II	A	Int./Div.	M	U					
83. Sentry Investments III	A	Int./Div.	J	U					
84. SLC Innovation District I, LLC	A	Int./Div.	J	U					
85. SLC Innovation District II, LLC	A	Int./Div.	J	U	Open	07/18/19	J		

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	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
86. SLC Innovation District III, LLC	A	Int./Div.	J	U	Open	09/13/19	J		
87. SLC Innovation District IV, LLC	A	Int./Div.	J	U	Open	09/13/19	J		
88. Liberty Park Pulp LLC	A	Int./Div.	J	U					

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

Per the Committee's 9/1/2021 inquiry, this Amended Report now includes Column C(1) and C(2) for lines 17, 18, 25, 28, 39, 41, 43 and 44. Additionally, as to LINE 47, Utah Educational Savings Plan-- This line item was inadvertently included in the 2019 Annual Report filed 8/11/2020 and was also included as line 46 of the 2018 Amended Annual Report filed 7/23/2019. However, no funds remained in this Plan after 2017.

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