

Executive Branch Personnel Public Financial Disclosure Report (OGE Form 278e)

Filer's Information

Mayorkas, Alejandro N

Deputy Secretary, Department of Homeland Security

Report Year: 2016

Other Federal Government Positions Held During the Preceding 12 Months:

None

Electronic Signature - I certify that the statements I have made in this form are true, complete and correct to the best of my knowledge.

/s/ Mayorkas, Alejandro N [electronically signed on 07/20/2016 by Mayorkas, Alejandro N in Integrity.gov] - Filer received a 32 day filing extension.

Agency Ethics Official's Opinion - On the basis of information contained in this report, I conclude that the filer is in compliance with applicable laws and regulations (subject to any comments below).

/s/ Heller, Susan J, Certifying Official [electronically signed on 10/18/2016 by Heller, Susan J in Integrity.gov]

Other review conducted by

/s/ Heller, Susan J, Ethics Official [electronically signed on 10/18/2016 by Heller, Susan J in Integrity.gov]

U.S. Office of Government Ethics Certification

/s/ Rounds, Emory, Certifying Official [electronically signed on 11/02/2016 by Rounds, Emory in Integrity.gov]

Data Revised 10/18/2016

1. Filer's Positions Held Outside United States Government

None

2. Filer's Employment Assets & Income and Retirement Accounts

None

3. Filer's Employment Agreements and Arrangements

None

4. Filer's Sources of Compensation Exceeding \$5,000 in a Year

(N/A) - Not required for this type of report

5. Spouse's Employment Assets & Income and Retirement Accounts

None

6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Russell Emerging Markets Class S	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
2	Russell Real Estate Securities Class S	Yes	\$15,001 - \$50,000		\$2,501 - \$5,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3	Russell Global Equity Class S	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
4	U.S. Small Cap, Russell Class S	Yes	\$50,001 - \$100,000		\$5,001 - \$15,000
5	Russell International Developed Markets Fund Class S	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
6	Russell Strategic Bond Class S	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
7	Russell Global Opportunistic Credit Fund (previously named Russell Global Credit Strategies Fund Class S)	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
8	Russell Commodities Strategies Fund Class S	Yes	\$15,001 - \$50,000		None (or less than \$201)
9	Russell Global Infrastructure Fund Class S	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
10	Wells Fargo Advisors	No	\$100,001 - \$250,000		None (or less than \$201)
11	Citibank Checking Account	No	\$15,001 - \$50,000		None (or less than \$201)
12	Citibank Money Market Account	No	\$1,001 - \$15,000		None (or less than \$201)
13	Russell Multi-Strategy Alternative Fund	Yes	\$15,001 - \$50,000		\$201 - \$1,000
14	Russell U.S. Strategic Equity	Yes	\$250,001 - \$500,000		\$15,001 - \$50,000
15	Alejandro Mayorkas beneficiary IRA	No	\$50,001 - \$100,000		None (or less than \$201)
15.1	American Funds Euro Pacific Growth	Yes	\$1,001 - \$15,000		None (or less than \$201)
15.2	Oppenheimer International Growth	Yes	\$1,001 - \$15,000		None (or less than \$201)
15.3	Virtus Emerging Market Opportunity	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
15.4	Rainier Midcap Equity Fund	Yes	\$1,001 - \$15,000		\$201 - \$1,000
15.5	T. Rowe Price Real Estate Fund	Yes	\$1,001 - \$15,000		None (or less than \$201)
15.6	Touchstone Sands Cap Institutional Growth	Yes	\$1,001 - \$15,000		None (or less than \$201)
15.7	Victory Portfolio Small Company Opportunity	Yes	\$1,001 - \$15,000		\$201 - \$1,000
15.8	Harbor Fund International Fund	Yes	\$1,001 - \$15,000		\$201 - \$1,000
15.9	Hotchkis & Wiley Diversified Value	Yes	\$1,001 - \$15,000		None (or less than \$201)
15.10	Janus Flexible Bond Fund	Yes	\$1,001 - \$15,000		None (or less than \$201)
15.11	Lazard Emerging Markets	Yes	\$1,001 - \$15,000		None (or less than \$201)
15.12	MFS Value Fund	Yes	\$1,001 - \$15,000		\$201 - \$1,000
15.13	Deutsche Securities Enhanced Commodities Strategy	Yes	\$1,001 - \$15,000		None (or less than \$201)
15.14	Deutsche Securities Global Real Estate	Yes	\$1,001 - \$15,000		None (or less than \$201)
15.15	Eaton Vance Income Fund	Yes	\$1,001 - \$15,000		\$201 - \$1,000
15.16	Advisors Inner Circle Edgewood Growth Fund	Yes	\$1,001 - \$15,000		None (or less than \$201)
15.17	RS Small Cap Growth	Yes	\$1,001 - \$15,000		None (or less than \$201)
15.18	Ridgeworth Midcap Value	Yes	\$1,001 - \$15,000		\$201 - \$1,000
15.19	American Funds Washington Mutual	Yes	\$1,001 - \$15,000		\$201 - \$1,000
16	Goldman Sachs Financial Square Treasury Instruments	Yes	\$1,001 - \$15,000		None (or less than \$201)
17	Harbor Fund International Fund	Yes	\$1,001 - \$15,000		\$201 - \$1,000
18	Hotchkis & Wiley Diversified Value	Yes	\$1,001 - \$15,000		\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
19	Janus Flexible Bond Fund	Yes	\$1,001 - \$15,000		\$201 - \$1,000
20	Lazard Emerging Markets	Yes	\$1,001 - \$15,000		None (or less than \$201)
21	MFS Value Fund	Yes	\$1,001 - \$15,000		\$1,001 - \$2,500
22	American Funds Euro Pacific Growth	Yes	\$1,001 - \$15,000		None (or less than \$201)
23	Oppenheimer International Growth	Yes	\$1,001 - \$15,000		None (or less than \$201)
24	Virtus Emerging Market Opportunity	Yes	\$1,001 - \$15,000		\$201 - \$1,000
25	Rainier Midcap Equity Fund	Yes	\$1,001 - \$15,000		\$201 - \$1,000
26	T. Rowe Price Real Estate Fund	Yes	\$1,001 - \$15,000		\$201 - \$1,000
27	Touchstone Sands Cap Institutional Growth	Yes	\$1,001 - \$15,000		\$201 - \$1,000
28	Victory Portfolio Small Company Opportunity	Yes	\$1,001 - \$15,000		\$201 - \$1,000
29	Deutsche Securities Enhanced Commodities Strategy	Yes	\$1,001 - \$15,000		None (or less than \$201)
30	Deutsche Securities Global Real Estate	Yes	\$1,001 - \$15,000		None (or less than \$201)
31	Eaton Vance Income Fund	Yes	\$1,001 - \$15,000		None (or less than \$201)
32	Advisors Inncer Circle Edgewood Growth Fund	Yes	\$1,001 - \$15,000		\$201 - \$1,000
33	RS Small Cap Growth	Yes	\$1,001 - \$15,000		\$201 - \$1,000
34	American Funds Washington Mutual	Yes	\$1,001 - \$15,000		\$201 - \$1,000
35	Ridgeworth Midcap Value	Yes	\$1,001 - \$15,000		\$201 - \$1,000

7. Transactions

#	DESCRIPTION	TYPE	DATE	AMOUNT
1	Russell Strategic Alternative	Sale	03/02/15	\$1,001 - \$15,000
2	Russell Global Infrastructure	Sale	03/02/15	\$1,001 - \$15,000
3	Russell Emerging Markets	Sale	04/10/15	\$1,001 - \$15,000
4	Russell Global Real Estate	Sale	03/02/15	\$1,001 - \$15,000
5	Russell Global Equity	Sale	03/02/15	\$1,001 - \$15,000
6	Russell Strategic Bond	Sale	03/02/15	\$50,001 - \$100,000
7	Russell Strategic Bond	Sale	07/10/15	\$1,001 - \$15,000
8	Russell Strategic Bond	Sale	10/09/15	\$1,001 - \$15,000
9	Russell U.S. Strategic Equity	Sale	01/09/15	\$1,001 - \$15,000
10	Russell Commodity Strategy	Purchase	03/02/15	\$1,001 - \$15,000
11	Russell Global Opportunity	Purchase	03/02/15	\$1,001 - \$15,000
12	Russell Emerging Markets	Purchase	03/02/15	\$1,001 - \$15,000
13	Russell International Development	Purchase	03/02/15	\$15,001 - \$50,000
14	Russell U.S. Strategic Equity	Purchase	03/02/15	\$50,001 - \$100,000
15	Deutsche Enhanced Commodities Strategy	Purchase	12/16/15	\$1,001 - \$15,000
16	Deutsche Enhanced Commodities Strategy	Purchase	12/16/15	\$1,001 - \$15,000
17	Deutsche Global Real Estate	Purchase	08/12/15	\$1,001 - \$15,000
18	Deutsche Global Real Estate	Purchase	08/12/15	\$1,001 - \$15,000
19	Eaton Vance Income Fund	Purchase	08/11/15	\$1,001 - \$15,000
20	Eaton Vance Income Fund	Purchase	08/11/15	\$1,001 - \$15,000
21	Eaton Vance Income Fund	Purchase	08/12/15	\$1,001 - \$15,000
22	Eaton Vance Income Fund	Purchase	08/12/15	\$1,001 - \$15,000
23	Advisors Inner Circle Edgewood Growth Fund	Purchase	04/13/15	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
24	Advisors Inner Circle Edgewood Growth Fund	Purchase	04/13/15	\$1,001 - \$15,000
25	RS Small Cap Growth	Purchase	04/13/15	\$1,001 - \$15,000
26	RS Small Cap Growth	Purchase	04/13/15	\$1,001 - \$15,000
27	RS Small Cap Growth	Purchase	08/12/15	\$1,001 - \$15,000
28	American Funds Washington Mutual	Purchase	04/13/15	\$1,001 - \$15,000
29	American Funds Washington Mutual	Purchase	04/13/15	\$1,001 - \$15,000
30	American Funds Washington Mutual	Purchase	04/15/15	\$1,001 - \$15,000
31	Lazard Emerging Markets	Purchase	04/13/15	\$1,001 - \$15,000
32	Ridgeworth Midcap Value	Purchase	04/13/15	\$1,001 - \$15,000
33	Ridgeworth Midcap Value	Purchase	04/13/15	\$1,001 - \$15,000
34	Victory Sycamore Small Company Opportunity	Purchase	08/12/15	\$1,001 - \$15,000
35	Victory Sycamore Small Company Opportunity	Purchase	08/12/15	\$1,001 - \$15,000
36	Aspen Montag & Calwell Growth Fund	Sale	04/13/15	\$15,001 - \$50,000
37	Aspen Montag & Calwell Growth Fund	Sale	04/13/15	\$15,001 - \$50,000
38	William Blair Small Cap Growth	Sale	07/21/15	\$1,001 - \$15,000
39	William Blair Small Cap Growth	Sale	08/11/15	\$1,001 - \$15,000
40	Buffalo Small Cap	Sale	04/13/15	\$1,001 - \$15,000
41	Buffalo Small Cap	Sale	04/13/15	\$1,001 - \$15,000
42	Dreyfuss Appreciation	Sale	04/13/15	\$1,001 - \$15,000
43	Dreyfuss Appreciation	Sale	04/13/15	\$1,001 - \$15,000
44	Advisors Edgewood Growth	Sale	07/21/15	\$1,001 - \$15,000
45	RS Small Cap Growth	Sale	07/21/15	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
46	Harbor International	Sale	07/21/15	\$1,001 - \$15,000
47	Hotchkis & Wiley Dividend Value	Sale	07/21/15	\$1,001 - \$15,000
48	American Fund Washington Mutual	Sale	07/21/15	\$1,001 - \$15,000
49	Janus Flexible Bond	Sale	07/21/15	\$1,001 - \$15,000
50	Lazard Emerging Markets	Sale	07/21/15	\$1,001 - \$15,000
51	MFS Value	Sale	07/21/15	\$1,001 - \$15,000
52	JP Morgan Core Bond	Sale	07/21/15	\$1,001 - \$15,000
53	JP Morgan Core Bond	Sale	08/11/15	\$1,001 - \$15,000
54	JP Morgan Core Bond	Sale	08/11/15	\$1,001 - \$15,000
55	American Fund EuroPacific	Sale	07/21/15	\$1,001 - \$15,000
56	Oppenheimer International Growth	Sale	07/21/15	\$1,001 - \$15,000
57	Virtus Emerging Market	Sale	07/21/15	\$1,001 - \$15,000
58	Pimco Commodity Real Return	Sale	07/21/15	\$1,001 - \$15,000
59	Pimco Commodity Real Return	Sale	12/15/15	\$1,001 - \$15,000
60	Pimco Commodity Real Return	Sale	12/15/15	\$1,001 - \$15,000
61	Rainer Midcap Equity	Sale	07/21/15	\$1,001 - \$15,000
62	Rainer Midcap Equity	Sale	08/11/15	\$1,001 - \$15,000
63	Ridgeworth Midcap Value	Sale	07/21/15	\$1,001 - \$15,000
64	Ridgeworth Midcap Value	Sale	08/11/15	\$1,001 - \$15,000
65	T. Rowe Price Real Estate	Sale	07/21/15	\$1,001 - \$15,000
66	Stratton Small Cap Value	Sale	07/21/15	\$1,001 - \$15,000
67	Stratton Small Cap Value	Sale	08/11/15	\$1,001 - \$15,000
68	Stratton Small Cap Value	Sale	08/11/15	\$1,001 - \$15,000
69	Touchstone Sands Capital Growth	Sale	07/21/15	\$1,001 - \$15,000
70	Victory Sycamore Small Cap	Sale	07/21/15	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
71	CRM Midcap Value	Sale	04/13/15	\$1,001 - \$15,000
72	CRM Midcap Value	Sale	04/13/15	\$1,001 - \$15,000
73	Wells Fargo Endeavor Select	Sale	04/13/15	\$1,001 - \$15,000
74	Wells Fargo Endeavor Select	Sale	04/13/15	\$1,001 - \$15,000

8. Liabilities

#	CREDITOR NAME	TYPE	AMOUNT	YEAR INCURRED	RATE	TERM
1	Chase Card Services	Credit Card	\$10,001 - \$15,000	2015	18%	Monthly
2	Nordstrom Bank	Credit Card	\$10,001 - \$15,000	2015	18%	Monthly
3	Citi Bank	Exercised Line of Credit	\$250,001 - \$500,000	2015	4%	Monthly
4	Citibank, Los Angeles, CA	Mortgage on Personal Residence	\$500,001 - \$1,000,000	2010	4.0%	30 yrs

9. Gifts and Travel Reimbursements

None

Endnotes

Summary of Contents

1. Filer's Positions Held Outside United States Government

Part 1 discloses positions that the filer held at any time during the reporting period (excluding positions with the United States Government). Positions are reportable even if the filer did not receive compensation.

This section does not include the following: (1) positions with religious, social, fraternal, or political organizations; (2) positions solely of an honorary nature; (3) positions held as part of the filer's official duties with the United States Government; (4) mere membership in an organization; and (5) passive investment interests as a limited partner or non-managing member of a limited liability company.

2. Filer's Employment Assets & Income and Retirement Accounts

Part 2 discloses the following:

- Sources of earned and other non-investment income of the filer totaling more than \$200 during the reporting period (e.g., salary, fees, partnership share, honoraria, scholarships, and prizes)
- Assets related to the filer's business, employment, or other income-generating activities that (1) ended the reporting period with a value greater than \$1,000 or (2) produced more than \$200 in income during the reporting period (e.g., equity in business or partnership, stock options, retirement plans/accounts and their underlying holdings as appropriate, deferred compensation, and intellectual property, such as book deals and patents)

This section does not include assets or income from United States Government employment or assets that were acquired separately from the filer's business, employment, or other income-generating activities (e.g., assets purchased through a brokerage account). Note: The type of income is not required if the amount of income is \$0 - \$200 or if the asset qualifies as an excepted investment fund (EIF).

3. Filer's Employment Agreements and Arrangements

Part 3 discloses agreements or arrangements that the filer had during the reporting period with an employer or former employer (except the United States Government), such as the following:

- Future employment
- Leave of absence
- Continuing payments from an employer, including severance and payments not yet received for previous work (excluding ordinary salary from a current employer)
- Continuing participation in an employee welfare, retirement, or other benefit plan, such as pensions or a deferred compensation plan
- Retention or disposition of employer-awarded equity, sharing in profits or carried interests (e.g., vested and unvested stock options, restricted stock, future share of a company's profits, etc.)

4. Filer's Sources of Compensation Exceeding \$5,000 in a Year

Part 4 discloses sources (except the United States Government) that paid more than \$5,000 in a calendar year for the filer's services during any year of the reporting period.

The filer discloses payments both from employers and from any clients to whom the filer personally provided services. The filer discloses a source even if the source made its payment to the filer's employer and not to the filer. The filer does not disclose a client's payment to the filer's employer if the filer did not provide the services for which the client is paying.

5. Spouse's Employment Assets & Income and Retirement Accounts

Part 5 discloses the following:

- Sources of earned income (excluding honoraria) for the filer's spouse totaling more than \$1,000 during the reporting period (e.g., salary, consulting fees, and partnership share)
- Sources of honoraria for the filer's spouse greater than \$200 during the reporting period
- Assets related to the filer's spouse's employment, business activities, other income-generating activities that (1) ended the reporting period with a value greater than \$1,000 or (2) produced more than \$200 in income during the reporting period (e.g., equity in business or partnership, stock options, retirement plans/accounts and their underlying holdings as appropriate, deferred compensation, and intellectual property, such as book deals and patents)

This section does not include assets or income from United States Government employment or assets that were acquired separately from the filer's spouse's business, employment, or other income-generating activities (e.g., assets purchased through a brokerage account). Note: The type of income is not required if the amount of income is \$0 - \$200 or if the asset qualifies as an excepted investment fund (EIF). Amounts of income are not required for a spouse's earned income (excluding honoraria).

6. Other Assets and Income

Part 6 discloses each asset, not already reported, that (1) ended the reporting period with a value greater than \$1,000 or (2) produced more than \$200 in investment income during the reporting period. For purposes of the value and income thresholds, the filer aggregates the filer's interests with those of the filer's spouse and dependent children.

This section does not include the following types of assets: (1) a personal residence (unless it was rented out during the reporting period); (2) income or retirement benefits associated with United States Government employment (e.g., Thrift Savings Plan); and (3) cash accounts (e.g., checking, savings, money market accounts) at a single financial institution with a value of \$5,000 or less (unless more than \$200 of income was produced). Additional exceptions apply. Note: The type of income is not required if the amount of income is \$0 - \$200 or if the asset qualifies as an excepted investment fund (EIF).

7. Transactions

Part 7 discloses purchases, sales, or exchanges of real property or securities in excess of \$1,000 made on behalf of the filer, the filer's spouse or dependent child during reporting period.

This section does not include transactions that concern the following: (1) a personal residence, unless rented out; (2) cash accounts (e.g., checking, savings, CDs, money market accounts) and money market mutual funds; (3) Treasury bills, bonds, and notes; and (4) holdings within a federal Thrift Savings Plan account. Additional exceptions apply.

8. Liabilities

Part 8 discloses liabilities over \$10,000 that the filer, the filer's spouse or dependent child owed at any time during the reporting period.

This section does not include the following types of liabilities: (1) mortgages on a personal residence, unless rented out (limitations apply for PAS filers); (2) loans secured by a personal motor vehicle, household furniture, or appliances, unless the loan exceeds the item's purchase price; and (3) revolving charge accounts, such as credit card balances, if the outstanding liability did not exceed \$10,000 at the end of the reporting period. Additional exceptions apply.

9. Gifts and Travel Reimbursements

This section discloses:

- Gifts totaling more than \$375 that the filer, the filer's spouse, and dependent children received from any one source during the reporting period.
- Travel reimbursements totaling more than \$375 that the filer, the filer's spouse, and dependent children received from any one source during the reporting period.

For purposes of this section, the filer need not aggregate any gift or travel reimbursement with a value of \$150 or less. Regardless of the value, this section does not include the following items: (1) anything received from relatives; (2) anything received from the United States Government or from the District of Columbia, state, or local governments; (3) bequests and other forms of inheritance; (4) gifts and travel reimbursements given to the filer's agency in connection with the filer's official travel; (5) gifts of hospitality (food, lodging, entertainment) at the donor's residence or personal premises; and (6) anything received by the filer's spouse or dependent children totally independent of their relationship to the filer. Additional exceptions apply.

Privacy Act Statement

Title I of the Ethics in Government Act of 1978, as amended (the Act), 5 U.S.C. app. § 101 et seq., as amended by the Stop Trading on Congressional Knowledge Act of 2012 (Pub. L. 112-105) (STOCK Act), and 5 C.F.R. Part 2634 of the U. S. Office of Government Ethics regulations require the reporting of this information. The primary use of the information on this report is for review by Government officials to determine compliance with applicable Federal laws and regulations. This report may also be disclosed upon request to any requesting person in accordance with sections 105 and 402(b)(1) of the Act or as otherwise authorized by law. You may inspect applications for public access of your own form upon request. Additional disclosures of the information on this report may be made: (1) to any requesting person, subject to the limitation contained in section 208(d)(1) of title 18, any determination granting an exemption pursuant to sections 208(b)(1) and 208(b)(3) of title 18; (2) to a Federal, State, or local law enforcement agency if the disclosing agency becomes aware of violations or potential violations of law or regulation; (3) to another Federal agency, court or party in a court or Federal administrative proceeding when the Government is a party or in order to comply with a judge-issued subpoena; (4) to a source when necessary to obtain information relevant to a conflict of interest investigation or determination; (5) to the National Archives and Records Administration or the General Services Administration in records management inspections; (6) to the Office of Management and Budget during legislative coordination on private relief legislation; (7) to the Department of Justice or in certain legal proceedings when the disclosing agency, an employee of the disclosing agency, or the United States is a party to litigation or has an interest in the litigation and the use of such records is deemed relevant and necessary to the litigation; (8) to reviewing officials in a new office, department or agency when an employee transfers or is detailed from one covered position to another; (9) to a Member of Congress or a congressional office in response to an inquiry made on behalf of an individual who is the subject of the record; (10) to contractors and other non-Government employees working on a contract, service or assignment for the Federal Government when necessary to accomplish a function related to an OGE Government-wide system of records; and (11) on the OGE Website and to any person, department or agency, any written ethics agreement filed with OGE by an individual nominated by the President to a position requiring Senate confirmation. See also the OGE/GOVT-1 executive branch-wide Privacy Act system of records.

Public Burden Information

This collection of information is estimated to take an average of three hours per response, including time for reviewing the instructions, gathering the data needed, and completing the form. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Program Counsel, U.S. Office of Government Ethics (OGE), Suite 500, 1201 New York Avenue, NW., Washington, DC 20005-3917.

Pursuant to the Paperwork Reduction Act, as amended, an agency may not conduct or sponsor, and no person is required to respond to, a collection of information unless it displays a currently valid OMB control number (that number, 3209-0001, is displayed here and at the top of the first page of this OGE Form 278e).
