

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

Filer's Information

Mayorkas, Alejandro N

Deputy Secretary, Department of Homeland Security

Date of Termination: 10/31/2016

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 [electronically signed on 12/13/2016 by Mayorkas, alejandro in Integrity.gov] - Filer received a 20 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/ Waters, Michael A, Certifying Official [electronically signed on 06/01/2017 by Waters, Michael A in Integrity.gov]

Other review conducted by

/s/ Waters, Michael A, Ethics Official [electronically signed on 06/01/2017 by Waters, Michael A in Integrity.gov]

U.S. Office of Government Ethics Certification

/s/ Rounds, Emory, Certifying Official [electronically signed on 06/02/2017 by Rounds, Emory in Integrity.gov]

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

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
1	Wilmer Cutler Pickering Hale & Dorr LLP	Washington, District of Columbia	Agreement to become a partner in the law firm commencing on November 1, 2016.	11/2016

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		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2	Russell Real Estate Securities Class S	Yes	\$15,001 - \$50,000		\$201 - \$1,000
3	Russell Global Equity Class S	Yes	\$100,001 - \$250,000		None (or less than \$201)
4	U.S. Small Cap, Russell Class S	Yes	\$50,001 - \$100,000		None (or less than \$201)
5	Russell International Developed Markets Fund Class S	Yes	\$100,001 - \$250,000		None (or less than \$201)
6	Russell Strategic Bond Class S	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
7	Russell Global Opportunistic Credit Fund (previously named Russell Global Credit Strategies Fund Class S)	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
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	\$15,001 - \$50,000		\$201 - \$1,000
10	Wells Fargo Advisors	No	\$100,001 - \$250,000		None (or less than \$201)
11	Citibank Checking Account	No	\$1,001 - \$15,000		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	None (or less than \$1,001)		\$201 - \$1,000
14	Russell U.S. Strategic Equity	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
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)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
15.3	Virtus Emerging Market Opportunity	Yes	\$1,001 - \$15,000		None (or less than \$201)
15.4	Rainier Midcap Equity Fund	Yes	None (or less than \$1,001)		None (or less than \$201)
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	None (or less than \$1,001)		None (or less than \$201)
15.8	Harbor Fund International Fund	Yes	\$1,001 - \$15,000		None (or less than \$201)
15.9	Hotchkis & Wiley Diversified Value	Yes	None (or less than \$1,001)		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		None (or less than \$201)
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		None (or less than \$201)
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		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
15.19	American Funds Washington Mutual	Yes	\$1,001 - \$15,000		None (or less than \$201)
16	Goldman Sachs Financial Square Treasury Instruments	Yes	None (or less than \$1,001)		None (or less than \$201)
17	Harbor Fund International Fund	Yes	\$1,001 - \$15,000		None (or less than \$201)
18	Hotchkis & Wiley Diversified Value	Yes	None (or less than \$1,001)		None (or less than \$201)
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		None (or less than \$201)
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		None (or less than \$201)
25	Rainier Midcap Equity Fund	Yes	None (or less than \$1,001)		None (or less than \$201)
26	T. Rowe Price Real Estate Fund	Yes	\$1,001 - \$15,000		None (or less than \$201)
27	Touchstone Sands Cap Institutional Growth	Yes	\$1,001 - \$15,000		None (or less than \$201)
28	Victory Portfolio Small Company Opportunity	Yes	None (or less than \$1,001)		None (or less than \$201)
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		\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
32	Advisors Inncer Circle Edgewood Growth Fund	Yes	\$1,001 - \$15,000		None (or less than \$201)
33	RS Small Cap Growth	Yes	\$1,001 - \$15,000		None (or less than \$201)
34	American Funds Washington Mutual	Yes	\$1,001 - \$15,000		None (or less than \$201)
35	Ridgeworth Midcap Value	Yes	\$1,001 - \$15,000		None (or less than \$201)
36	Goldman Sachs Financial Square Treasury	Yes	\$1,001 - \$15,000		None (or less than \$201)
37	Russell Multi-Strategy Income	Yes	\$50,001 - \$100,000		\$201 - \$1,000
38	T. Rowe Midcap Growth	Yes	\$1,001 - \$15,000		None (or less than \$201)
39	Franklin Value	Yes	\$1,001 - \$15,000		None (or less than \$201)
40	MFS Emerging Market Debt	Yes	\$1,001 - \$15,000		None (or less than \$201)
41	Goldman Sachs Financial Treasury	Yes	\$1,001 - \$15,000		None (or less than \$201)

7. Transactions

#	DESCRIPTION	TYPE	DATE	AMOUNT
1	Eaton Vance income Fund	Sale	09/09/16	\$1,001 - \$15,000
2	Eaton Vance Income Fund		09/09/16	\$1,001 - \$15,000
3	Harbor International	Sale	09/09/16	\$1,001 - \$15,000
4	Harbor International	Sale	09/09/16	\$1,001 - \$15,000
5	Hotchkiss & Wiley	Sale	09/09/16	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
6	Hotchkiss & Wiley	Sale	09/09/16	\$1,001 - \$15,000
7	Lazard Emerging Markets	Sale	09/09/16	\$1,001 - \$15,000
8	Lazard Emerging Markets	Sale	09/09/16	\$1,001 - \$15,000
9	Rainier Midcap	Sale	09/09/16	\$1,001 - \$15,000
10	Rainier Midcap	Sale	09/09/16	\$1,001 - \$15,000
11	Victory Sycamore Small Cap	Sale	09/09/16	\$1,001 - \$15,000
12	Victory Sycamore Small Cap	Sale	09/09/16	\$1,001 - \$15,000
13	Goldman Financial Squared Treasury	Sale	10/14/16	\$1,001 - \$15,000
14	Russell Multi Strategy Income	Sale	09/20/16	\$1,001 - \$15,000
15	Russell Multi Strategy Income	Sale	09/21/16	\$1,001 - \$15,000
16	Russell Multi Strategy Alternative	Sale	07/12/16	\$15,001 - \$50,000
17	Russell Global Infrastructure	Sale	07/12/16	\$15,001 - \$50,000
18	Russell Global Infrastructure	Sale	09/21/16	\$1,001 - \$15,000
19	Russell Global Opportunity Credit	Sale	09/20/16	\$1,001 - \$15,000
20	Russell Global Opportunity Credit	Sale	09/21/16	\$1,001 - \$15,000
21	Russell Emerging Market	Sale	09/20/16	\$1,001 - \$15,000
22	Russell Emerging Market	Sale	09/21/16	\$1,001 - \$15,000
23	Russell Global Real Estate	Sale	07/12/16	\$1,001 - \$15,000
24	Russell Global Real Estate	Sale	09/21/16	\$1,001 - \$15,000
25	Russell Global Equity	Sale	09/20/16	\$1,001 - \$15,000
26	Russell Global Equity	Sale	09/21/16	\$1,001 - \$15,000
27	Russell U.S. Smallcap	Sale	09/20/16	\$1,001 - \$15,000
28	Russell U.S. Smallcap	Sale	09/21/16	\$1,001 - \$15,000
29	Russell International Developed	Sale	09/20/16	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
30	Russell International Developed	Sale	09/21/16	\$1,001 - \$15,000
31	Russell Strategic Bond	Sale	01/11/16	\$1,001 - \$15,000
32	Russell Strategic Bond	Sale	04/08/16	\$1,001 - \$15,000
33	Russell Strategic Bond	Sale	07/08/16	\$1,001 - \$15,000
34	Russell Strategic Bond	Sale	07/12/16	\$15,001 - \$50,000
35	Russell Strategic Bond	Sale	09/20/16	\$1,001 - \$15,000
36	Russell Strategic Bond	Sale	09/21/16	\$1,001 - \$15,000
37	Russell U.S. Strategic Equity	Sale	07/12/16	\$50,001 - \$100,000
38	Russell U.S. Strategic Equity	Sale	09/20/16	\$1,001 - \$15,000
39	Russell Strategic Equity	Sale	09/21/16	\$1,001 - \$15,000
40	American Fund Washington Mutual	Purchase	09/09/16	\$1,001 - \$15,000
41	Janus Flexible Bond	Purchase	09/09/16	\$1,001 - \$15,000
42	MFS Emerging Debt	Purchase	09/09/16	\$1,001 - \$15,000
43	T. Rowe Price Midcap	Purchase	09/09/16	\$1,001 - \$15,000
44	Franklin Smallcap	Purchase	09/09/16	\$1,001 - \$15,000
45	Franklin Smallcap	Purchase	09/09/16	\$1,001 - \$15,000
46	American Fund Washington Mutual	Purchase	09/09/16	\$1,001 - \$15,000
47	Janus Flexible Bond	Purchase	09/09/16	\$1,001 - \$15,000
48	MFS Emerging Debt	Purchase	09/09/16	\$1,001 - \$15,000
49	Ridgeworth Midcap	Purchase	09/09/16	\$1,001 - \$15,000
50	T. Rowe Price Midcap	Purchase	09/09/16	\$1,001 - \$15,000
51	Victory Smallcap	Purchase	09/09/16	\$1,001 - \$15,000
52	Goldman Financial Squared Treasury	Purchase	07/12/16	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
53	Russell Multi Strategy Income	Purchase	07/12/16	\$50,001 - \$100,000
54	Russell Commodity	Purchase	07/13/16	\$1,001 - \$15,000
55	Russell Global Opportunity Credit	Purchase	07/12/16	\$15,001 - \$50,000
56	Russell Global Opportunity Credit	Purchase	07/13/16	\$15,001 - \$50,000
57	Russell Emerging Market	Purchase	07/12/16	\$1,001 - \$15,000
58	Russell Global Equity	Purchase	07/12/16	\$1,001 - \$15,000
59	Russell International Developed	Purchase	07/12/16	\$1,001 - \$15,000
60	Russell Strategic Equity	Purchase	07/06/16	\$1,001 - \$15,000

8. Liabilities

#	CREDITOR NAME	TYPE	AMOUNT	YEAR INCURRED	RATE	TERM
1	Chase Card Services	Credit Card	\$50,001 - \$100,000	2016	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
5	Citi Bank	Exercised Line of Credit	\$50,001 - \$100,000	2016	4%	One Year
6	Wells Fargo	Loan Against Account	\$50,001 - \$100,000	2016		75 Days

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).
