

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

## Filer's Information

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**Deyo, Russell C**

, Department of Homeland Security

Report Year: 2016

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Other Federal Government Positions Held During the Preceding 12 Months:

None

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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/ Dornburg, Erica M, Certifying Official [electronically signed on 02/26/2019 by Dornburg, Erica M in Integrity.gov]**

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Other review conducted by

**/s/ Dornburg, Erica M, Ethics Official [electronically signed on 02/26/2019 by Dornburg, Erica M in Integrity.gov]**

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U.S. Office of Government Ethics Certification

**Certification Declined on 4/24/19 by Apol, David.**

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Data Revised 04/24/2019

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Comments of Reviewing Officials (public annotations):

PART	#	REFERENCE	COMMENT
N/A	N/A	General	(04/24/2019, Apol, David): Decline to certify since OGE did not receive the final report until more than 2 years after the filer terminated federal employment.

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## 1. Filer's Positions Held Outside United States Government

None

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

## 3. Filer's Employment Agreements and Arrangements

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
1	Johnson & Johnson	New Brunswick, New Jersey	I will continue to participate in the Consolidated Retirement Plan of Johnson & Johnson, a defined benefit pension plan from which I receive payments.	9/1985
2	Johnson & Johnson	New Brunswick, New Jersey	Johnson & Johnson Health Plan: I receive post-retirement medical coverage for life through the J&J Health Plan administered through Aetna.	9/1985
3	Johnson & Johnson	New Brunswick, New Jersey	Johnson & Johnson Savings Plan with a defined contribution 401(k) feature and an ESOP feature.	9/1985
4	Johnson & Johnson	New Brunswick, New Jersey	Johnson & Johnson incentive stock option plan, vested stock options. No future option grants will accrue.	12/1985
5	Johnson & Johnson	New Brunswick, New Jersey	Johnson & Johnson Executive Life Insurance Plan.	1/1992
6	Johnson & Johnson	New Brunswick, New Jersey	Johnson & Johnson: Pursuant to established practice for retired executives, I am entitled to receive discounts on company products, access to company gym facilities, and use of the company's clinical/medical team.	3/2012
7	Johnson & Johnson	New Brunswick, New Jersey	Johnson & Johnson: Pursuant to Johnson & Johnson established practice for retired Executive Committee members, I am entitled to shared office space, shared professional assistant support, and parking.	3/2012

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#### 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	ALIBABA GROUP HOLDING LTD ADR (BABA)	No	\$1,001 - \$15,000	Dividends	None (or less than \$201)
2	AMDOCS LIMITED (DOX)	No	\$1,001 - \$15,000	Dividends	None (or less than \$201)
3	APARTMENT INVT & MGMT CO CL A REIT (AIV)	No	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
4	ARCHER DANIELS MIDLAND CO (ADM)	No	\$1,001 - \$15,000	Dividends	None (or less than \$201)
5	BARON SMALL CAP FUND INSTITUTIONAL (BSFIX)	No	\$50,001 - \$100,000	Dividends	None (or less than \$201)
6	BERKSHIRE HATHAWAY INC CLASS B (BRKB)	No	\$1,001 - \$15,000	Dividends	None (or less than \$201)
7	BURLINGTON STORES INC	No	\$1,001 - \$15,000	Dividends	None (or less than \$201)
8	CIGNA CORP (CI)	No	\$15,001 - \$50,000	Dividends	None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
9	CONSTELLATION BRANDS INC CL A (STZ)	No	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
10	DODGE & COX INTERNATIONAL STOCK FUND (DODFX)	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
11	Dollar General Corp (DG)	No	\$1,001 - \$15,000	Dividends	None (or less than \$201)
12	DOW CHEMICAL CO (DOW)	No	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
13	EBAY INC (EBAY)	No	\$1,001 - \$15,000	Dividends	None (or less than \$201)
14	EDWARDS LIFESCIENCES CORP (EW)	No	\$1,001 - \$15,000	Dividends	None (or less than \$201)
15	EQUIFAX INC (EFX)	No	\$15,001 - \$50,000	Dividends	None (or less than \$201)
16	GENERAL DYNAMICS CORP (GD)	No	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
17	HAIN CELESTIAL GROUP INC	No	\$1,001 - \$15,000	Dividends	None (or less than \$201)
18	HARDING LOEVNER INTERNATIONAL EQUITY PORTFOLIO (HLMIX)	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
19	HUNTINGTON BANCSHARES INC (HBAN)	No	\$1,001 - \$15,000	Dividends	None (or less than \$201)
20	INGEVITY CORP (NGVT)	No	None (or less than \$1,001)	Dividends	None (or less than \$201)
21	INVESCO LTD (IVZ)	No	\$1,001 - \$15,000	Dividends	None (or less than \$201)
22	L BRANDS INC (LB)	No	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
23	LENDINGCLUB CORP (LC)	No	None (or less than \$1,001)	Dividends	None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
24	MONSTER BEVERAGE CORPORATION (MNST)	No	\$1,001 - \$15,000	Dividends	None (or less than \$201)
25	NORTHROP GRUMMAN CORPORATION (NOC)	No	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
26	PAYPAL HOLDINGS INC (PYPL)	No	\$1,001 - \$15,000	Dividends	None (or less than \$201)
27	PPG INDUSTRIES INC (PPG)	No	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
28	PRINCIPAL FINANCIAL GROUP (PFG)	No	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
29	PUBLIC STORAGE REITS (PSA)	No	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
30	REGENERON PHARMACEUTICALS INC (REGN)	No	\$1,001 - \$15,000	Dividends	None (or less than \$201)
31	REYNOLDS AMERICAN INC (RAI)	No	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
32	ROCKWELL COLLINS INC (COL)	No	\$1,001 - \$15,000	Dividends	None (or less than \$201)
33	SEI INVESTMENT CO (SEIC)	No	\$15,001 - \$50,000	Dividends	None (or less than \$201)
34	TYCO INTL (TYC)	No	\$1,001 - \$15,000	Dividends	None (or less than \$201)
35	TYSON FOODS INC CLASS A (TSN)	No	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
36	UNITEDHEALTH GROUP INC (UNH)	No	\$1,001 - \$15,000	Dividends	None (or less than \$201)
37	US BANCORP DEL COM NEW (USB)	No	\$1,001 - \$15,000	Dividends	None (or less than \$201)
38	VANGUARD MID CAP ETF (VO)	No	\$100,001 - \$250,000	Dividends	\$2,501 - \$5,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
39	VANGUARD TOTAL STOCK MARKET ETF (VTI)	No	\$1,000,001 - \$5,000,000	Dividends	\$15,001 - \$50,000
40	VIPSHOP HOLDINGS LTD ADR (VIPS)	No	\$1,001 - \$15,000	Dividends	None (or less than \$201)
41	VOYA FINL INC COM (VOYA)	No	\$1,001 - \$15,000	Dividends	None (or less than \$201)
42	WESTROCK CO (WRK)	No	\$1,001 - \$15,000	Dividends	None (or less than \$201)
43	XCEL ENERGY INC (XEL)	No	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
44	BOSTON MASS SER A G.O. 05.000% DUE 04/01/2021	No	\$100,001 - \$250,000	Interest	\$2,501 - \$5,000
45	CHICAGO IL MET WTR RECLAMATION GO REF-SER A DST GTR CHICAGO 05.000% DUE 12/01/2021	No	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
46	DELAWARE ST REF GO P/R 07/01/20@100 05.000% DUE 07/01/2027	No	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000
47	DELAWARE ST UNREFUNDED GO CALL 07/01/20@100 05.000% DUE 07/01/2027	No	\$15,001 - \$50,000	Interest	\$201 - \$1,000
48	FAIRFAX CNTY VA SER B GO 05.000% DUE 04/01/2024	No	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000
49	FORSAN TX INDEP SCH DIST SCH BLDG GO CALL 02/15/18@100 05.000% DUE 02/15/2028	No	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000
50	HUNTSVILLE AL REF-CAP IMPT SER A GENERAL OBLIGATION UNLTD WARRANT 05.000% DUE 09/01/2017	No	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
51	ILLINOIS FIN AUTH SER A REV ART INSTITUTE CHICAGO 05.250% DUE 03/01/2019	No	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000
52	ILLINOIS ST GO CALL 05/01/2024@100 05.000% DUE 05/01/2029	No	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
53	ILLINOIS ST SALES TAX REV FIRST SER REV NATL FGIC 06.000% DUE 06/15/2027	No	\$100,001 - \$250,000		None (or less than \$201)
54	INDIANA ST FIN AUTH REV RFDG-ST REF ST REVOLVING FD PG C 05.000% DUE 02/01/2020	No	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
55	KANSAS ST DEPT OF TRANSPRTN HI SER B REV 05.000% DUE 09/01/2019	No	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000
56	MASSACHUSETTS BAY TRANSN AUTH SR SER A REV BONDS 05.000% DUE 07/01/2027	No	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
57	MASSACHUSETTS ST GO REF-SER A 05.250% DUE 08/01/2020	No	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000
58	MASSACHUSETTS ST WTR POLLUTN REF POOL PG REV 05.250% DUE 08/01/2029	No	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000
59	MASSACHUSETTS ST WTR RESOURCES GEN- SER B REV 05.250% DUE 08/01/2029	No	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
60	MICHIGAN ST FIN AUTH REVENUE REF- UNEMPL OBLIG CALL 7/1/16@100 05.000% DUE 07/01/2022	No	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
61	NEW JERSEY ENVRNMNTL INFRASTRU REF- ENVRNM REV 05.250% DUE 09/01/2018	No	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
62	OHIO ST UNIV SER D REV 05.000% DUE 12/01/2030	No	\$100,001 - \$250,000	Interest	\$2,501 - \$5,000
63	ORANGE CNTY FL SALES TAX REV SER C 05.000% DUE 01/01/2024	No	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
64	OREGON ST DPT TRNSN HWY USER TAX REV SR LIEN-SER A 05.000% DUE 11/15/2017	No	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
65	PENNSYLVANIA ST TURNPIKE COMMI REF SER A REV AGM 05.250% DUE 07/15/2027	No	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000
66	SAN ANTONIO TX ELEC & GAS REF REV 05.250% DUE 02/01/2025	No	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000



#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
67	SCOTTSDALE ARIZ WTR & SWR REVENUE BONDS REF 05.250% DUE 07/01/2023	No	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000
68	UNIVERSITY TEX PERM UNIV FD RFDG REF SER B 05.250% DUE 07/01/2026	No	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000
69	VANGUARD FUNDS INTER-TERM TAX EXEMPT FD#542 ADMIRAL SHARES (VWIUX)	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
70	WAKE CNTY N C RFDG-SER C REF SER C 05.000% DUE 03/01/2025	No	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
71	PNC GOVT. MONEY MARKET FUND	No	\$250,001 - \$500,000	Interest	\$201 - \$1,000
72	iShares MSCI ACWI Index Fund	Yes	\$500,001 - \$1,000,000		\$15,001 - \$50,000
73	SPDR S&P 500 ETF Trust	Yes	\$1,000,001 - \$5,000,000		\$15,001 - \$50,000
74	Vanguard Short Term Bond ETF	Yes	\$1,000,001 - \$5,000,000		\$15,001 - \$50,000
75	Vanguard Total Bond Market ETF	Yes	\$1,000,001 - \$5,000,000		\$100,001 - \$1,000,000
76	iShares S&P National Muni Bond Fund	Yes	\$1,000,001 - \$5,000,000		\$50,001 - \$100,000
77	Child #1 Trust				
77.1	iShares Core S&P Midcap ETF	Yes	\$500,001 - \$1,000,000		\$5,001 - \$15,000
77.2	Vanguard FTSE Developed Markets ETF	Yes	\$500,001 - \$1,000,000		\$15,001 - \$50,000
77.3	iShares MSCI ACWI Index Fund	Yes	\$500,001 - \$1,000,000		\$5,001 - \$15,000
78	Vanguard Total Bond Market ETF	Yes	\$1,000,001 - \$5,000,000		\$15,001 - \$50,000

## 7. Transactions

## 8. Liabilities

#	CREDITOR NAME	TYPE	AMOUNT	YEAR INCURRED	RATE	TERM
1	JP Morgan Chase, New York, NY	Exercised Line of Credit	\$1,000,001 - \$5,000,000	2014	1.25	open-ended

## 9. Gifts and Travel Reimbursements

None

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## 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 \$390 that the filer, the filer's spouse, and dependent children received from any one source during the reporting period.
- Travel reimbursements totaling more than \$390 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 \$156 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).

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