

Financial Disclosures

Annual Report for Calendar 2016

The Honorable Rafael E Cruz (Cruz, Ted)

 Filed 08/13/2017 @ 10:48 PM

The following statements were checked before filing:

- I certify that the statements I have made on this form are true, complete and correct to the best of my knowledge and belief.
- I understand that reports cannot be edited once filed. To make corrections, I will submit an *electronic* amendment to this report.

I omitted assets because they meet the three-part test for exemption.

Part 1. Honoraria Payments or Payments to Charity in Lieu of Honoraria

Did any individual or organization pay you or your spouse more than \$200 or donate any amount to a charity on your behalf, for an article, speech, or appearance? **No**

Part 2. Earned and Non-Investment Income

Did you or your spouse have reportable earned income or non-investment income? **Yes**

| # | Who Was Paid | Type | Who Paid | Amount Paid |
|---|--------------|-----------------------------|---|--------------|
| 1 | Self | Royalties (Book advance) | HarperCollins New York, New York | \$271,362.50 |
| 2 | Spouse | Wages | Goldman Sachs and Co Jersey City, NJ | > \$1,000 |

Part 3. Assets

Did you, your spouse, or dependent child own any asset worth more than \$1000, have a deposit account with a balance over \$5,000, or receive income of more than \$200 from an asset? **Yes**

| | Asset | Asset Type | Owner | Value | Income Type | Income |
|----|---|----------------------------|-------|-----------------------|--|---------------------|
| 1 | <u>GSHIX</u> - Goldman Sachs High Yield Instl (NASDAQ) | Corporate Securities Stock | Joint | \$1,001 - \$15,000 | Dividends, Excepted Investment Fund, | \$201 - \$1,000 |
| 2 | <u>GHYIX</u> - Goldman Sachs High Yield Muni Instl (NASDAQ) | Corporate Securities Stock | Joint | \$1,001 - \$15,000 | Dividends, Interest, Excepted Investment Fund, | \$201 - \$1,000 |
| 3 | <u>GIMDX</u> - Goldman Sachs Local Emrg Mkts Debt Instl (NASDAQ) | Corporate Securities Stock | Joint | \$1,001 - \$15,000 | Dividends, Excepted Investment Fund, | \$201 - \$1,000 |
| 4 | <u>GSMTX</u> - Goldman Sachs Dynamic Municipal Inc Inst (NASDAQ) | Corporate Securities Stock | Joint | \$15,001 - \$50,000 | Excepted Investment Fund, | \$201 - \$1,000 |
| 5 | <u>GSFRX</u> - Goldman Sachs High Yield FI Rate Instl (NASDAQ) | Corporate Securities Stock | Joint | \$1,001 - \$15,000 | Dividends, Excepted Investment Fund, | \$201 - \$1,000 |
| 6 | <u>GSTIX</u> - Goldman Sachs Strategic Growth Instl (NASDAQ) | Corporate Securities Stock | Joint | \$15,001 - \$50,000 | Dividends, Excepted Investment Fund, | \$201 - \$1,000 |
| 7 | <u>BFK</u> - BlackRock Municipal Income Trus (NYSE) | Corporate Securities Stock | Joint | \$250,001 - \$500,000 | Dividends, Interest, Excepted Investment Fund, | \$15,001 - \$50,000 |
| 8 | <u>XOM</u> - Exxon Mobil Corporation (NYSE) | Corporate Securities Stock | Joint | \$100,001 - \$250,000 | Dividends, | \$2,501 - \$5,000 |
| 9 | <u>GSLIX</u> - Goldman Sachs Large Cap Value Instl (NASDAQ) | Corporate Securities Stock | Joint | \$15,001 - \$50,000 | Dividends, Excepted Investment Fund, | \$201 - \$1,000 |
| 10 | <u>OGS</u> - ONE Gas, Inc. Common Stock (NYSE) | Corporate Securities | Joint | \$15,001 - \$50,000 | Dividends, | \$201 - \$1,000 |

| | Common Stock (NYSE) Asset | Securities Stock Asset Type | Owner | Value | Income Type | Income |
|------|---|--|--------|-----------------------|--------------------------------------|---------------------------|
| 11 | GSAIX - Goldman Sachs Asia Equity Instl (NASDAQ) | Corporate Securities Stock | Joint | \$1,001 - \$15,000 | Dividends, Excepted Investment Fund, | None (or less than \$201) |
| 12 | EPD - Enterprise Products Partners L.P. (NYSE) | Corporate Securities Stock | Joint | \$100,001 - \$250,000 | Other, (Partnership distribution) | Other \$11,130.00 |
| 13 | USAA 529 <i>Institution: USAA</i> | Education Savings Plans 529 College Savings Plan | Joint | | | |
| 13.1 | Plan FBO Child 2 Age Based Aggressive Growth | Mutual Funds Mutual Fund | Joint | \$15,001 - \$50,000 | Excepted Investment Fund, | None (or less than \$201) |
| 13.2 | Plan FBO Child 2 Aggressive Growth Portfolio | Mutual Funds Mutual Fund | Joint | \$15,001 - \$50,000 | Excepted Investment Fund, | None (or less than \$201) |
| 13.3 | Plan FBO Child 2 Moderate Aggressive Portfolio | Mutual Funds Mutual Fund | Joint | \$15,001 - \$50,000 | Excepted Investment Fund, | None (or less than \$201) |
| 13.4 | Plan FBO Child 2 Moderate Portfolio | Mutual Funds Mutual Fund | Joint | \$15,001 - \$50,000 | Excepted Investment Fund, | None (or less than \$201) |
| 14 | Fidelity 529 - Child 1 <i>Institution: Fidelity</i> | Education Savings Plans 529 College Savings Plan | Joint | | | |
| 14.1 | MA 2027 Portfolio | Mutual Funds Mutual Fund | Joint | \$100,001 - \$250,000 | Excepted Investment Fund, | None (or less than \$201) |
| 15 | Traditional IRA | Retirement Plans IRA | Spouse | | | |
| 15.1 | GIDGX - Goldman Sachs Enhanced Div Gbl Eq Instl (NASDAQ) | Mutual Funds Mutual Fund | Spouse | \$15,001 - \$50,000 | Dividends, | \$201 - \$1,000 |
| 16 | Morgan Lewis Cash Balance | Retirement | Self | \$250,001 - | Interest | None (or less than \$201) |

| 16 | Morgan Lewis Cash Balance Retirement Plan Asset | Retirement Plans Asset Type Defined Benefit Pension Plan | Self Owner | \$200,001 - \$500,000 Value | Interest, Income Type | None (or less than \$201) Income |
|------|--|--|---------------|--------------------------------|---------------------------|-------------------------------------|
| 17 | Bank of America (Houston, Texas) Type: Checking, | Bank Deposit | Joint | \$15,001 - \$50,000 | Interest, | None (or less than \$201) |
| 18 | Bank of America (Houston, Texas) Type: Savings, | Bank Deposit | Joint | \$15,001 - \$50,000 | Interest, | \$201 - \$1,000 |
| 19 | American Express (Houston, Texas) Type: Savings, | Bank Deposit | Joint | \$1,001 - \$15,000 | Interest, | None (or less than \$201) |
| 20 | Texas ERS Retirement Account | Retirement Plans Defined Benefit Pension Plan | Self | \$50,001 - \$100,000 | Excepted Investment Fund, | None (or less than \$201) |
| 21 | Health Equity HSA (Houston, Texas) Type: Savings, | Bank Deposit | Self | \$1,001 - \$15,000 | Interest, | None (or less than \$201) |
| 22 | Capitol One 360 (Houston, Texas) Type: Savings, | Bank Deposit | Joint | \$1,001 - \$15,000 | Interest, | None (or less than \$201) |
| 23 | Morgan Lewis Bockius LLP Defined Contribution Plan | Retirement Plans Defined Contribution Pension Plan | Self | | | |
| 23.1 | <u>VTTHX</u> - Vanguard Target Retirement 2035 Inv (NASDAQ) | Corporate Securities Stock | Self | \$100,001 - \$250,000 | Dividends, | None (or less than \$201) |
| 24 | Morgan Lewis Bockius LLP Tax-Saver Retirement Plan | Retirement Plans Defined Contribution Pension Plan | Self | | | |

| | | | | | | |
|------|---|--|---------------|----------------------------|--|-------------------------------------|
| 24.1 | BIGIX - William Blair International Growth I (NASDAQ) | Mutual Funds Asset Type Mutual Fund | Self Owner | \$15,001 - \$50,000 | Dividends, Income Type Capital Gains, | None (or less than \$201) Income |
| 24.2 | GGOIX - Goldman Sachs Growth Opportunities Instl (NASDAQ) | Mutual Funds Mutual Fund | Self | \$15,001 - \$50,000 | Dividends, Capital Gains, | None (or less than \$201) |
| 24.3 | SYIMX - AMG Systematic Mid Cap Value Instl (NASDAQ) | Mutual Funds Mutual Fund | Self | \$15,001 - \$50,000 | Dividends, Capital Gains, | None (or less than \$201) |
| 24.4 | VFORX - Vanguard Target Retirement 2040 Inv (NASDAQ) | Mutual Funds Mutual Fund | Self | \$15,001 - \$50,000 | Dividends, Capital Gains, | None (or less than \$201) |
| 24.5 | VGSIX - Vanguard REIT Index Inv (NASDAQ) | Mutual Funds Mutual Fund | Self | \$15,001 - \$50,000 | Dividends, Capital Gains, | None (or less than \$201) |
| 25 | Blackrock Lifepath Portfolio, Target 2035 401K | Mutual Funds Mutual Fund | Spouse | \$250,001 - \$500,000 | Excepted Investment Fund, | None (or less than \$201) |
| 26 | PAGP - Plains GP Holdings, L.P. | Corporate Securities Stock | Joint | \$15,001 - \$50,000 | Dividends, | \$1,001 - \$2,500 |
| 27 | GS - The Goldman Sachs Group, Inc. | Corporate Securities Stock | Joint | \$250,001 - \$500,000 | Interest, | None (or less than \$201) |
| 28 | Loan to Ted Cruz for Senate Company: Ted Cruz for Senate (Austin, Texas) | Accounts Receivable From a Business | Joint | \$500,001 - \$1,000,000 | None, | None (or less than \$201) |
| 29 | Goldman Sachs (Houston, Texas) Type: Savings, | Bank Deposit | Child | \$1,001 - \$15,000 | Interest, | None (or less than \$201) |
| 30 | Goldman Sachs (Houston, Texas) Type: Savings, | Bank Deposit | Child | \$1,001 - \$15,000 | Interest, | \$201 - \$1,000 |
| 31 | GSSIX - Goldman Sachs | Corporate | Joint | None (or | Excepted | \$201 - \$1,000 |

Small Cap Value Instl
Asset

Securities
~~Stock~~ Type

Owner

less than
\$1,001

Investment
Fund Type

Income

Part 4a. Periodic Transaction Report Summary

In this section, electronically filed periodic transaction report (PTR) transactions are displayed for you. Have you filed any paper-based PTRs in this period? **No**

| # | Transac- tion Date | Owner | Ticker | Asset Name | Type | Amount | Comment |
|---|-----------------------|-------|--------|----------------------------------|----------------|----------------------|---------|
| 1 | 02/25/2016 | Joint | -- | GS-The Goldman Sachs Group, Inc. | Sale (Full) | \$50,001 - \$100,000 | -- |
| 2 | 02/25/2016 | Joint | OKE | ONEOK Inc. | Sale (Partial) | \$15,001 - \$50,000 | -- |
| 3 | 04/17/2016 | Joint | -- | OKE-ONEOK Inc. | Sale (Full) | \$15,001 - \$50,000 | -- |

Part 4b. Transactions

Did you, your spouse, or dependent child buy, sell, or exchange an asset that exceeded \$1,000? **Yes**

| # | Owner | Ticker | Asset Name | Trans- action Type | Transac- tion Date | Amount | Comment |
|---|-------|--------------|--|--------------------------|-----------------------|---------------------|---------|
| 1 | Joint | <u>GSRX</u> | Goldman Sachs High Yield FI Rate Instl | Sale (Partial) | 12/22/2016 | \$1,001 - \$15,000 | -- |
| 2 | Joint | <u>GSHIX</u> | Goldman Sachs High Yield Instl | Sale (Partial) | 12/22/2016 | \$15,001 - \$50,000 | -- |
| 3 | Joint | <u>GHYIX</u> | Goldman Sachs High Yield Muni Instl | Sale (Partial) | 12/22/2016 | \$1,001 - \$15,000 | -- |
| 4 | Joint | <u>GSSIX</u> | Goldman Sachs Small Cap Value Instl | Sale (Full) | 04/18/2016 | \$15,001 - \$50,000 | -- |

Part 5. Gifts

Did you, your spouse, or dependent child receive any reportable gift during the reporting period? **Yes**

| # | Date | Recipient | Gift | Value | From |
|---|------------|-----------|---|-------------|----------------------------------|
| 1 | 07/29/2016 | Self | 2006 Honda Pilot and 2002 Honda Odyssey | \$12,000.00 | Chad Sweet Bethesda, Maryland |

Part 6. Travel

Did you, your spouse, or dependent child receive any **reportable travel**? **Yes**

| # | Date(s) | Traveler(s) | Travel Type | Itinerary | Reimbursed For | Who Paid | Comment |
|---|--------------------------|---------------|---------------------|-----------------------------|-----------------------------------|-------------------------------------|---------|
| 1 | 06/30/2016 to 07/05/2016 | Self , Spouse | Personal friendship | Houston to Fischer's Island | Private plane Amount: \$15,000.00 | Lee and Allie Hanley Houston, Texas | |

Part 7. Liabilities

Did you, your spouse, or dependent child have a reportable liability worth more than \$10,000 at any time? **Yes**

| # | In-curred | Debtor | Type | Points | Rate (Term) | Amount | Creditor | Comments |
|---|-----------|--------|---------------------|--------|-----------------------|-----------------------|----------------------------------|--|
| 1 | 2011 | Joint | Mortgage | 0 | 4% (15 years) | \$250,001 - \$500,000 | JP Morgan Chase Columbus, Ohio | Paid off in 2016. |
| 2 | 2012 | Joint | Other (Margin loan) | - | floating% (on demand) | \$250,001 - \$500,000 | Goldman Sachs New York, New York | The floating interest rate is broker call plus 100 basis points. |
| 3 | 2015 | Joint | Line of | | 15.24% | \$15,001 | American | |

| # | Year | Debtor | Line of Credit Type | Points | Rate (Term) | Amount | Location | Comments |
|---|------|--------|---------------------|--------|------------------------------------|---------------------------|--------------------------------|----------|
| 3 | 2015 | Joint | Line of Credit | - | 13.24% (Rate Term) | \$15,001 - \$50,000 | American Express Dallas, Texas | - |
| 4 | 2015 | Joint | Line of Credit | - | 17.99% (--) | \$10,001 - \$15,000 | Citi Cards Des Moines, Iowa | - |
| 5 | 2015 | Joint | Line of Credit | - | 13.24% (--) | \$15,001 - \$50,000 | Chase Wilmington, DE | - |
| 6 | 2016 | Joint | Mortgage | 0 | 2.625% (30 year conv jumbo ARM) | \$1,000,001 - \$5,000,000 | Bank of America Houston, Texas | - |
| 7 | 2016 | Joint | Mortgage | 0 | 2.625% (30 year conv jumbo ARM) | \$500,001 - \$1,000,000 | Bank of America Houston, Texas | - |

Part 8. Positions

Did you hold any outside positions during the reporting period? **Yes**

| # | Position Dates | Position Held | Entity | Entity Type | Comments |
|---|---------------------|---------------|--|------------------------|----------|
| 1 | Dec 2011 to present | Trustee | Free Enterprise Institute Houston, Texas | Nonprofit Organization | |

Part 9. Agreements

Did you have any reportable agreement or arrangement with an outside entity? **Yes**

| # | Date | Parties Involved | Type | Status and Terms |
|---|------|------------------|------|------------------|
|---|------|------------------|------|------------------|

| # | Date | Parties Involved | Type | Status and Terms |
|---|----------|---|-------------------------------------|--|
| 1 | Nov 2002 | CEP Investments Holdings Limited Kingston, Jamaica | Other (Promissory note) | Principle sum of \$75,000 plus reasonable rate of interest. Incorporated in B.V.I and operates in Kingston, Jamaica. |
| 2 | Jun 2014 | HarperCollins New York, New York | Royalty Agreement | Royalty payments as follows: (\$318,750 guaranteed, payable 6/2016); Hardcover: 15%; Paperback: 7.5%; Mass market paperback: 8% to 150,000 copies; 10% thereafter; Large print hardcover: 10%; Large print paperback: 7.5%; Digital versions: 25% of amounts received. |
| 3 | Jun 2014 | Javelin Group LLC Alexandria, Virginia | Other (Literary agent agreement) | 15% of all sums received for serving as agent and \$1 per word for collaboration services. |

Part 10. Compensation

If this is your first report, or you are a candidate did you receive compensation of more than \$5,000 from a single source in the **two** prior years? **This is not my first report.**

Attachments & Comments

No attachments added.

No comments added.