

# Financial Disclosures

## Annual Report for Calendar 2013

**The Honorable Rafael E Cruz (Cruz, Ted)**

Filed 05/15/2014 @ 11:35 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	Spouse	Salary	Goldman Sachs & Co Houston, Texas	> \$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**

	<u>Asset</u>	<u>Asset Type</u>	<u>Owner</u>	<u>Value</u>	<u>Income</u>	
					<u>Type</u>	<u>Income</u>
1	<b>BFK - BlackRock Municipal Income Trust (NYSE)</b>	Corporate Securities Stock	Joint	\$100,001 - \$250,000	Dividends,	\$5,001 - \$15,000
2	<b>GSMTX - Goldman Sachs Municipal Income Instl (NASDAQ)</b>	Corporate Securities	Joint	\$15,001 - \$50,000	Dividends,	\$201 - \$1,000

Stock

3	<b><u>GSHIX</u> - Goldman Sachs High Yield Instl (NASDAQ)</b>	Corporate Securities Stock	Joint	\$15,001 - \$50,000	Dividends,	\$1,001 - \$2,500
4	<b><u>GIMDX</u> - Goldman Sachs Local Emrg Mkts Debt Instl (NASDAQ)</b>	Corporate Securities Stock	Joint	\$1,001 - \$15,000	Dividends,	\$201 - \$1,000
5	<b><u>GHYIX</u> - Goldman Sachs High Yield Muni Instl (NASDAQ)</b>	Corporate Securities Stock	Joint	\$15,001 - \$50,000	Dividends,	\$1,001 - \$2,500
6	<b><u>CVX</u> - Chevron Corporation (NYSE)</b>	Corporate Securities Stock	Joint	\$100,001 - \$250,000	Dividends,	\$2,501 - \$5,000
7	<b><u>XOM</u> - Exxon Mobil Corporation (NYSE)</b>	Corporate Securities Stock	Joint	\$100,001 - \$250,000	Dividends,	\$2,501 - \$5,000
8	<b><u>GS</u> - The Goldman Sachs Group, Inc. (NYSE)</b>	Corporate Securities Stock	Joint	\$1,001 - \$15,000	Dividends,	None (or less than \$201)
9	<b><u>OKE</u> - ONEOK Inc. (NYSE)</b>	Corporate Securities Stock	Joint	\$100,001 - \$250,000	Dividends,	\$2,501 - \$5,000
10	<b><u>EPD</u> - Enterprise Products Partners L.P. (NYSE)</b>	Corporate Securities Stock	Joint	\$100,001 - \$250,000	Dividends,	\$5,001 - \$15,000
11	<b><u>GSTIX</u> - Goldman Sachs Strategic Growth Instl (NASDAQ)</b>	Corporate Securities Stock	Joint	\$15,001 - \$50,000	Dividends,	\$201 - \$1,000
12	<b><u>GSLIX</u> - Goldman Sachs Large Cap Value Instl (NASDAQ)</b>	Corporate Securities Stock	Joint	\$50,001 - \$100,000	Dividends,	\$201 - \$1,000
13	<b><u>GSSIX</u> - Goldman Sachs Small Cap Value Instl (NASDAQ)</b>	Corporate Securities Stock	Joint	\$50,001 - \$100,000	Dividends,	\$201 - \$1,000

14	<b>GSAIX - Goldman Sachs Asia Equity Instl (NASDAQ)</b>	Corporate Securities Stock	Joint	\$1,001 - \$15,000	Dividends,	None (or less than \$201)
15	<b>GIDGX - Goldman Sachs Enhanced Dividend (NASDAQ)</b>	Retirement Plans IRA	Spouse	\$15,001 - \$50,000	Dividends,	\$201 - \$1,000
16	<b>Bank of America</b> (Houston, Texas) <i>Type: Savings,</i>	Bank Deposit	Joint	\$15,001 - \$50,000	Interest,	\$201 - \$1,000
17	<b>American Express</b> (Houston, Texas) <i>Type: Savings,</i>	Bank Deposit	Joint	\$1,001 - \$15,000	Interest,	\$201 - \$1,000
18	<b>Capitol One 360</b> (Houston, Texas) <i>Type: Savings,</i>	Bank Deposit	Joint	\$1,001 - \$15,000	Interest,	None (or less than \$201)
19	<b>JP Morgan</b> (Houston, Texas) <i>Type: Savings,</i>	Bank Deposit	Joint	\$1,001 - \$15,000	Interest,	None (or less than \$201)
20	<b>SYIMX - AMG Systematic Mid Cap Value Instl (NASDAQ)</b>	Corporate Securities Stock	Joint	\$15,001 - \$50,000	Excepted Investment Fund,	None (or less than \$201)
21	<b>VGSIX - Vanguard REIT Index Inv (NASDAQ)</b>	Corporate Securities Stock	Joint	\$15,001 - \$50,000	Excepted Investment Fund,	None (or less than \$201)
22	<b>VFORX - Vanguard Target Retirement 2040 Inv (NASDAQ)</b>	Corporate Securities Stock	Joint	\$15,001 - \$50,000	Excepted Investment Fund,	None (or less than \$201)

23	<b>BIGIX - William Blair International Growth I (NASDAQ)</b>	Corporate Securities Stock	Joint	\$15,001 - \$50,000	Excepted Investment Fund,	None (or less than \$201)
24	<b>Fidelity 529 MA 2027 Portfolio</b> <i>Institution: Fidelity</i>	529 College Savings Account Savings	Joint	\$100,001 - \$250,000	Excepted Investment Fund,	None (or less than \$201)
25	<b>USAA 529 - Age Based Aggressive Growth</b> <i>Institution: USAA</i>	529 College Savings Account Savings	Joint	\$15,001 - \$50,000	Excepted Trust,	None (or less than \$201)
26	<b>USAA 529 Aggressive Growth</b> <i>Institution: USAA</i>	529 College Savings Account Savings	Joint	\$15,001 - \$50,000	Excepted Trust,	None (or less than \$201)
27	<b>USAA 529 - Moderate</b> <i>Institution: USAA</i>	529 College Savings Account Savings	Joint	\$15,001 - \$50,000	Excepted Trust,	None (or less than \$201)
28	<b>USAA 529 - Balanced</b> <i>Institution: USAA</i>	529 College Savings Account Savings	Joint	\$15,001 - \$50,000	Excepted Trust,	None (or less than \$201)
29	<b>GSFRX - Goldman Sachs High Yield FI Rate Instl (NASDAQ)</b>	Corporate Securities Stock	Joint	\$15,001 - \$50,000	Dividends,	\$1,001 - \$2,500
30	<b>Bank of America</b> (Houston, Texas) <i>Type: Checking,</i>	Bank Deposit	Joint	\$15,001 - \$50,000	Interest,	None (or less than \$201)
31	<b>VTTHX - Vanguard Target Retirement 2035 Inv (NASDAQ)</b>	Corporate Securities Stock	Self	\$100,001 - \$250,000	Excepted Investment Fund,	None (or less than \$201)

\$201)

32	<b>Texas ERS Retirement Account</b>	Retirement Plans Defined Benefit Pension Plan	Self	\$1,001 - \$15,000	Excepted Investment Fund,	None (or less than \$201)
33	<b>Loan to Ted Cruz for Senate</b> <i>Company: Ted Cruz for Senate (Austin, Texas)</i>	Accounts Receivable From a Business	Self	\$500,001 - \$1,000,000	None,	None (or less than \$201)
34	<b>GGOIX - Goldman Sachs Growth Opportunities Instl (NASDAQ)</b>	Retirement Plans Defined Contribution Pension Plan	Joint	\$15,001 - \$50,000	Excepted Investment Fund,	None (or less than \$201)
35	<b>Blackrock Lifepath Portfolio, Target 2035 401K</b>	Retirement Plans Defined Contribution Pension Plan	Spouse	\$100,001 - \$250,000	Excepted Investment Fund,	None (or less than \$201)
36	<b>Bancorp Bank</b> (Houston, Texas) <i>Type: Savings,</i>	Bank Deposit	Self	\$1,001 - \$15,000	Interest,	None (or less than \$201)
37	<b>Morgan Lewis Cash Balance Retirement Plan</b>	Retirement Plans Defined Benefit Pension Plan	Self	\$250,001 - \$500,000	Excepted Investment Fund,	\$15,001 - \$50,000

#### 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? **Yes**

**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	Transaction Type	Transaction Date	Transaction Amount	Comment
1	Joint	<u>CVX</u>	Chevron Corporation (NYSE)	Purchase	03/19/2013	\$50,001 - \$100,000	--
2	Joint	<u>OKE</u>	ONEOK Inc. (NYSE)	Purchase	03/19/2013	\$15,001 - \$50,000	--
3	Joint	<u>XOM</u>	Exxon Mobil Corporation (NYSE)	Purchase	03/19/2013	\$15,001 - \$50,000	--
4	Joint	<u>EPD</u>	Enterprise Products Partners L.P. (NYSE)	Purchase	03/19/2013	\$15,001 - \$50,000	--
5	Joint	<u>EPD</u>	Enterprise Products Partners L.P. (NYSE)	Purchase	02/06/2013	\$15,001 - \$50,000	--
6	Joint	<u>GIMDX</u>	Goldman Sachs Local Emrg Mkts Debt Instl (NASDAQ)	Purchase	02/06/2013	\$15,001 - \$50,000	--
7	Joint	<u>GSHIX</u>	Goldman Sachs High Yield Instl (NASDAQ)	Purchase	02/06/2013	\$15,001 - \$50,000	--
8	Joint	<u>GSTIX</u>	Goldman Sachs Strategic Growth Instl (NASDAQ)	Purchase	02/06/2013	\$1,001 - \$15,000	--
9	Joint	<u>GSSIX</u>	Goldman Sachs Small Cap Value Instl (NASDAQ)	Purchase	02/06/2013	\$1,001 - \$15,000	--
10	Joint	<u>GSLIX</u>	Goldman Sachs Large Cap Value Instl (NASDAQ)	Purchase	02/06/2013	\$1,001 - \$15,000	--
11	Joint	<u>GIMDX</u>	Goldman Sachs Local Emrg Mkts Debt Instl (NASDAQ)	Purchase	03/19/2013	\$1,001 - \$15,000	--
12	Joint	<u>GSHIX</u>	Goldman Sachs High Yield Instl (NASDAQ)	Purchase	03/19/2013	\$1,001 - \$15,000	--
13	Joint	<u>GSFRX</u>	Goldman Sachs High Yield FI Rate Instl (NASDAQ)	Purchase	03/19/2013	\$15,001 - \$50,000	--
14	Joint	<u>GSAIX</u>	Goldman Sachs Asia Equity Instl (NASDAQ)	Purchase	03/19/2013	\$1,001 - \$15,000	--
15	Joint	<u>GSTIX</u>	Goldman Sachs Strategic Growth Instl (NASDAQ)	Purchase	03/19/2013	\$1,001 - \$15,000	--

16	Joint	<u>GSSIX</u>	Goldman Sachs Small Cap Value Instl (NASDAQ)	Purchase	03/19/2013	\$1,001 - \$15,000	--
17	Joint	<u>GSLIX</u>	Goldman Sachs Large Cap Value Instl (NASDAQ)	Purchase	03/19/2013	\$1,001 - \$15,000	--
18	Joint	<u>BFK</u>	BlackRock Municipal Income Trust (NYSE)	Sale (Partial)	04/15/2013	\$50,001 - \$100,000	--
19	Joint	<u>BFK</u>	BlackRock Municipal Income Trust (NYSE)	Sale (Partial)	06/13/2013	\$1,001 - \$15,000	--
20	Joint	<u>GIMDX</u>	Goldman Sachs Local Emrg Mkts Debt Instl (NASDAQ)	Sale (Partial)	10/29/2013	\$15,001 - \$50,000	--
21	Joint	<u>GSHIX</u>	Goldman Sachs High Yield Instl (NASDAQ)	Sale (Partial)	10/29/2013	\$1,001 - \$15,000	--
22	Joint	<u>GSFRX</u>	Goldman Sachs High Yield FI Rate Instl (NASDAQ)	Sale (Partial)	10/29/2013	\$1,001 - \$15,000	--

### Part 5. Gifts

Did you, your spouse, or dependent child receive any reportable gift during the reporting period? **No**

### Part 6. Travel

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

#	Date(s)	Traveler(s)	Travel Type	Itinerary	Reimbursed For	Who Paid	Comment
1	05/11/2013 to 05/11/2013	Self	Privately-Sponsored	DC to Chicago to Hillsdale, MI to Detroit to Houston	Ground transportation - \$300.00 Lodging - \$97.50 Meals - \$40.00	Hillsdale College Hillsdale, MI	
2	02/15/2013 to 02/18/2013	Self	Personal friendship	Austin, TX to Ixtapa, Mexico to	The Senator flew in Mr. Junco's private plane. Amount: \$9,000.00	Alejandro Junco Austin, Texas	

### Part 7. Liabilities

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

Rate

#	Incurred	Debtor	Type	Points	(Term)	Amount	Creditor	Comments
1	2011	Joint	Mortgage	0	4% (15 years)	\$250,001 - \$500,000	JP Morgan Chase Columbus, Ohio	-
2	2012	Joint	Other (Margin Loan)	-	floating% (On demand)	\$50,001 - \$100,000	Goldman Sachs New York, New York	-
3	2013	Joint	Line of Credit	-	15.24% (--)	\$15,001 - \$50,000	American Express Dallas, Texas	-
4	2013	Joint	Line of Credit	-	17.99% (--)	\$10,001 - \$15,000	Citi Cards Des Moines, Iowa	-

### Part 8. Positions

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

#	Position Dates	Position Held	Organization	Organization Type	Comments
1	Oct 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
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.

### 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? **No**

### Attachments & Comments

*No attachments added.*

*No comments added.*



