

## Annual Report for Calendar 2014

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

Filed 08/03/2015 @ 5:54 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, NY	\$190,000.00
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**

	<u>Asset</u>	<u>Asset Type</u>	<u>Owner</u>	<u>Value</u>	<u>Income</u>	
					<u>Type</u>	<u>Income</u>
1	<b>GSHIX - Goldman Sachs High Yield Instl (NASDAQ)</b>	Corporate Securities Stock	Joint	\$15,001 - \$50,000	Dividends, Excepted Investment Fund,	\$2,501 - \$5,000

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

	<u>Asset</u>	<u>Asset Type</u>	<u>Owner</u>	<u>Value</u>	<u>Income Type</u>	<u>Income</u>
10	<b><u>CVX</u> - Chevron Corporation (NYSE)</b>	Corporate Securities Stock	Joint	\$50,001 - \$100,000	Dividends,	\$5,001 - \$15,000
11	<b><u>XOM</u> - Exxon Mobil Corporation (NYSE)</b>	Corporate Securities Stock	Joint	\$100,001 - \$250,000	Dividends,	\$5,001 - \$15,000
12	<b><u>GS</u> - The Goldman Sachs Group, Inc. (NYSE)</b>	Corporate Securities Stock	Joint	\$50,001 - \$100,000	Dividends,	\$1,001 - \$2,500
13	<b><u>GSLIX</u> - Goldman Sachs Large Cap Value Instl (NASDAQ)</b>	Corporate Securities Stock	Joint	\$50,001 - \$100,000	Dividends, Excepted Investment Fund,	\$1,001 - \$2,500
14	<b><u>OGS</u> - ONE Gas, Inc. Common Stock (NYSE)</b> <i>Filer comment: January 31, 2014 - This was a qualified spinoff of ONEOK, INC. 2,500 shares at 0.25</i>	Corporate Securities Stock	Joint	\$15,001 - \$50,000	Dividends,	\$201 - \$1,000
15	<b><u>GSAIX</u> - Goldman Sachs Asia Equity Instl (NASDAQ)</b>	Corporate Securities Stock	Joint	\$1,001 - \$15,000	Dividends, Excepted Investment Fund,	None (or less than \$201)
16	<b><u>EPD</u> - Enterprise Products Partners L.P. (NYSE)</b>	Corporate Securities Stock	Joint	\$100,001 - \$250,000	Dividends,	\$5,001 - \$15,000
17	<b>USAA 529</b> <i>Institution: USAA</i>	Education Savings Plans 529 College Savings Plan	Joint			
17.1	<b>Plan FBO Child 2 Age Based Aggressive Growth</b>	Mutual Funds Mutual Fund	Joint	\$15,001 - \$50,000	Excepted Investment Fund,	None (or less than \$201)

	<u>Asset</u>	<u>Asset Type</u>	<u>Owner</u>	<u>Value</u>	<u>Income Type</u>	<u>Income</u>
17.2	<b>Plan FBO Child 2 Aggressive Growth Portfolio</b>	Mutual Funds Mutual Fund	Joint	\$15,001 - \$50,000	Excepted Investment Fund,	None (or less than \$201)
17.3	<b>Plan FBO Child 2 Moderate Portfolio</b> <i>Filer comment: In March 2015 the name of this fund was changed to Moderately Aggressive Portfolio.</i>	Mutual Funds Mutual Fund	Joint	\$15,001 - \$50,000	Excepted Investment Fund,	None (or less than \$201)
17.4	<b>Plan FBO Child 2 Balanced Portfolio</b> <i>Filer comment: In March 2015 the name of this fund was changed to Moderate Portfolio.</i>	Mutual Funds Mutual Fund	Joint	\$15,001 - \$50,000	Excepted Investment Fund,	None (or less than \$201)
18	<b>Fidelity 529 - Child 1</b> <i>Institution: Fidelity</i>	Education Savings Plans 529 College Savings Plan	Joint			
18.1	<b>MA 2027 Portfolio</b>	Mutual Funds Mutual Fund	Joint	\$100,001 - \$250,000	Excepted Investment Fund,	None (or less than \$201)
19	<b>Traditional IRA</b>	Retirement Plans IRA	Spouse			
19.1	<b><u>GIDGX</u> - Goldman Sachs Enhanced Div Gbl Eq Instl (NASDAQ)</b>	Mutual Funds Mutual Fund	Spouse	\$15,001 - \$50,000	Dividends,	\$1,001 - \$2,500
20	<b>Morgan Lewis Cash Balance Retirement Plan</b>	Retirement Plans Defined Benefit Pension Plan	Self	\$250,001 - \$500,000	Interest,	\$5,001 - \$15,000

	<u>Asset</u>	<u>Asset Type</u>	<u>Owner</u>	<u>Value</u>	<u>Income Type</u>	<u>Income</u>
21	<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)
22	<b>Bank of America</b> (Houston, Texas) <i>Type: Checking,</i>	Bank Deposit	Joint	\$15,001 - \$50,000	Interest,	None (or less than \$201)
23	<b>Bank of America</b> (Houston, Texas) <i>Type: Savings,</i>	Bank Deposit	Joint	\$1,001 - \$15,000	Interest,	\$201 - \$1,000
24	<b>American Express</b> (Houston, Texas) <i>Type: Savings,</i>	Bank Deposit	Joint	\$1,001 - \$15,000	Interest,	\$201 - \$1,000
25	<b>Texas ERS Retirement Account</b>	Retirement Plans Defined Benefit Pension Plan	Self	\$50,001 - \$100,000	Excepted Investment Fund,	None (or less than \$201)
26	<b>Bancorp Bank</b> (Houston, Texas) <i>Type: Savings,</i>	Bank Deposit	Self	\$1,001 - \$15,000	Interest,	None (or less than \$201)
27	<b>Capitol One 360</b> (Houston, Texas) <i>Type: Savings,</i>	Bank Deposit	Joint	\$1,001 - \$15,000	Interest,	None (or less than \$201)
28	<b>Morgan Lewis Bockius LLP Defined Contribution Plan</b>	Retirement Plans Defined Contribution Pension Plan	Self			

	<u>Asset</u>	<u>Asset Type</u>	<u>Owner</u>	<u>Value</u>	<u>Income Type</u>	<u>Income</u>
28.1	<b><u>VTTHX</u> - Vanguard Target Retirement 2035 Inv (NASDAQ)</b>	Corporate Securities Stock	Self	\$100,001 - \$250,000	Dividends,	None (or less than \$201)
29	<b>Morgan Lewis Bockius LLP Tax-Saver Retirement Plan</b>	Retirement Plans Defined Contribution Pension Plan	Self			
29.1	<b><u>BIGIX</u> - William Blair International Growth I (NASDAQ)</b>	Mutual Funds Mutual Fund	Self	\$15,001 - \$50,000	Dividends, Capital Gains,	None (or less than \$201)
29.2	<b><u>GGOIX</u> - Goldman Sachs Growth Opportunities Instl (NASDAQ)</b>	Mutual Funds Mutual Fund	Self	\$15,001 - \$50,000	Dividends, Capital Gains,	\$5,001 - \$15,000
29.3	<b><u>SYIMX</u> - AMG Systematic Mid Cap Value Instl (NASDAQ)</b>	Mutual Funds Mutual Fund	Self	\$15,001 - \$50,000	Dividends, Capital Gains,	\$1,001 - \$2,500
29.4	<b><u>VFORX</u> - Vanguard Target Retirement 2040 Inv (NASDAQ)</b>	Mutual Funds Mutual Fund	Self	\$15,001 - \$50,000	Dividends, Capital Gains,	None (or less than \$201)
29.5	<b><u>VGSIX</u> - Vanguard REIT Index Inv (NASDAQ)</b>	Mutual Funds Mutual Fund	Self	\$15,001 - \$50,000	Dividends, Capital Gains,	\$201 - \$1,000
30	<b>JP Morgan Chase (Houston, Texas)</b> <i>Type: Savings,</i>	Bank Deposit	Joint	\$1,001 - \$15,000	Interest,	None (or less than \$201)
31	<b><u>GS</u> - The Goldman Sachs Group, Inc. (NYSE)</b>	Corporate Securities Stock	Joint	\$50,001 - \$100,000	Dividends,	\$201 - \$1,000

	<u>Asset</u>	<u>Asset Type</u>	<u>Owner</u>	<u>Value</u>	<u>Income Type</u>	<u>Income</u>
32	<b>Blackrock Lifepath Portfolio, Target 2035 401K</b>	Mutual Funds Mutual Fund	Spouse	\$100,001 - \$250,000	Excepted Investment Fund,	None (or less than \$201)

#### 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**

Transaction #	Date	Owner	Ticker	Asset Name	Type	Amount	Comment
1	02/06/2014	Joint	BFK	BlackRock Municipal Income Trust (NYSE)	Purchase	\$15,001 - \$50,000	--
2	02/21/2014	Joint	EPD	Enterprise Products Partners L.P. (NYSE)	Purchase	\$50,001 - \$100,000	--

#### 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	Transaction Type	Transaction Date	Amount	Comment
1	Joint	<u>GSMX</u>	Goldman Sachs High Yield FI Rate Instl (NASDAQ)	Purchase	02/07/2014	\$15,001 - \$50,000	--
2	Joint	<u>BFK</u>	BlackRock Municipal Income Trus (NYSE)	Purchase	12/23/2014	\$1,001 - \$15,000	--
3	Joint	<u>GSSIX</u>	Goldman Sachs Small Cap Value Instl (NASDAQ)	Purchase	12/04/2014	\$1,001 - \$15,000	--

#### Part 5. Gifts

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

#	Date	Recipient	Gift	Value	From
---	------	-----------	------	-------	------

#	Date	Recipient	Gift	Value	From
1	01/24/2014	Self	Ticket to Houston Rockets game. Personal friendship waiver was received from the Ethics Committee.	\$450.00	Todd and Joanna Brooks Houston, Texas

### Part 6. Travel

Did you, your spouse, or dependent child receive any reportable travel or reimbursements for travel? **No**

### Part 7. Liabilities

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

#	Incurred	Debtor	Type	Rate		Amount	Creditor	Comments
				Points	(Term)			
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	The floating interest rate is broker call plus 100 basis points.
3	2014	Joint	Line of Credit	-	15.24% (--)	\$15,001 - \$50,000	American Express Dallas, Texas	-
4	2014	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	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
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? **No**

## Attachments & Comments

*No attachments added.*

*No comments added.*