

Annual Report for Calendar 2015

The Honorable Rafael E Cruz (Cruz, Ted)

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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	\$476,412.97
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 Type</u>	<u>Income</u>
1	GSHIX - Goldman Sachs High Yield Instl (NASDAQ)	Corporate Securities Stock	Joint	\$15,001 - \$50,000	Dividends, Excepted Investment Fund,	\$1,001 - \$2,500

	<u>Asset</u>	<u>Asset Type</u>	<u>Owner</u>	<u>Value</u>	<u>Income Type</u>	<u>Income</u>
2	<u>GHYIX</u> - Goldman Sachs High Yield Muni Instl (NASDAQ)	Corporate Securities Stock	Joint	\$15,001 - \$50,000	Dividends, Interest, Excepted Investment Fund,	\$1,001 - \$2,500
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	\$15,001 - \$50,000	Dividends, Excepted Investment Fund,	\$201 - \$1,000
6	<u>GSSIX</u> - Goldman Sachs Small Cap Value Instl (NASDAQ)	Corporate Securities Stock	Joint	\$15,001 - \$50,000	Dividends, Excepted Investment Fund,	\$201 - \$1,000
7	<u>GSTIX</u> - Goldman Sachs Strategic Growth Instl (NASDAQ)	Corporate Securities Stock	Joint	\$15,001 - \$50,000	Dividends, Excepted Investment Fund,	\$201 - \$1,000
8	<u>BFK</u> - BlackRock Municipal Income Trus (NYSE)	Corporate Securities Stock	Joint	\$500,001 - \$1,000,000	Dividends, Interest, Excepted Investment Fund,	\$15,001 - \$50,000
9	<u>OKE</u> - ONEOK Inc. (NYSE)	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	<u>XOM</u> - Exxon Mobil Corporation (NYSE)	Corporate Securities Stock	Joint	\$100,001 - \$250,000	Dividends,	\$5,001 - \$15,000
11	<u>GS</u> - The Goldman Sachs Group, Inc. (NYSE)	Corporate Securities Stock	Joint	\$50,001 - \$100,000	Dividends,	\$1,001 - \$2,500
12	<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
13	<u>OGS</u> - ONE Gas, Inc. Common Stock (NYSE)	Corporate Securities Stock	Joint	\$15,001 - \$50,000	Dividends,	\$201 - \$1,000
14	<u>GSAIX</u> - Goldman Sachs Asia Equity Instl (NASDAQ)	Corporate Securities Stock	Joint	\$1,001 - \$15,000	Dividends, Excepted Investment Fund,	None (or less than \$201)
15	<u>EPD</u> - Enterprise Products Partners L.P. (NYSE)	Corporate Securities Stock	Joint	\$100,001 - \$250,000	Dividends,	\$5,001 - \$15,000
16	USAA 529 <i>Institution: USAA</i>	Education Savings Plans 529 College Savings Plan	Joint			
16.1	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)
16.2	Plan FBO Child 2 Aggressive Growth Portfolio	Mutual Funds Mutual Fund	Joint	\$15,001 - \$50,000	Excepted Investment Fund,	None (or less than \$201)

	<u>Asset</u>	<u>Asset Type</u>	<u>Owner</u>	<u>Value</u>	<u>Income Type</u>	<u>Income</u>
16.3	Plan FBO Child 2 Moderate Aggressive Portfolio <i>Filer comment:</i> In Q1 2015 the name of this fund was changed from Moderate Portfolio to Moderately Aggressive Portfolio.	Mutual Funds Mutual Fund	Joint	\$15,001 - \$50,000	Excepted Investment Fund,	None (or less than \$201)
16.4	Plan FBO Child 2 Moderate Portfolio <i>Filer comment:</i> In Q1 2015 the name of this fund was changed from Balanced Portfolio to Moderate Portfolio.	Mutual Funds Mutual Fund	Joint	\$15,001 - \$50,000	Excepted Investment Fund,	None (or less than \$201)
17	Fidelity 529 - Child 1 <i>Institution:</i> Fidelity	Education Savings Plans 529 College Savings Plan	Joint			
17.1	MA 2027 Portfolio	Mutual Funds Mutual Fund	Joint	\$100,001 - \$250,000	Excepted Investment Fund,	None (or less than \$201)
18	Traditional IRA	Retirement Plans IRA	Spouse			
18.1	<u>GIDGX</u> - Goldman Sachs Enhanced Div Gbl Eq Instl (NASDAQ)	Mutual Funds Mutual Fund	Spouse	\$15,001 - \$50,000	Dividends,	\$201 - \$1,000
19	Morgan Lewis Cash Balance Retirement Plan	Retirement Plans Defined Benefit Pension Plan	Self	\$250,001 - \$500,000	Interest,	\$5,001 - \$15,000
20	Bank of America (Houston, Texas) <i>Type:</i> Checking,	Bank Deposit	Joint	\$1,001 - \$15,000	Interest,	None (or less than \$201)
21	Bank of America (Houston, Texas) <i>Type:</i> Savings,	Bank Deposit	Joint	\$1,001 - \$15,000	Interest,	\$201 - \$1,000

	<u>Asset</u>	<u>Asset Type</u>	<u>Owner</u>	<u>Value</u>	<u>Income Type</u>	<u>Income</u>
22	American Express (Houston, Texas) <i>Type: Savings,</i>	Bank Deposit	Joint	\$1,001 - \$15,000	Interest,	\$201 - \$1,000
23	Texas ERS Retirement Account	Retirement Plans Defined Benefit Pension Plan	Self	\$50,001 - \$100,000	Excepted Investment Fund,	None (or less than \$201)
24	Health Equity HSA (Houston, Texas) <i>Type: Savings,</i> <i>Filer comment: In 2015 name changed from Bancorp to Health Equity HSA.</i>	Bank Deposit	Self	None (or less than \$1,001)	Interest,	None (or less than \$201)
25	Capitol One 360 (Houston, Texas) <i>Type: Savings,</i>	Bank Deposit	Joint	\$1,001 - \$15,000	Interest,	None (or less than \$201)
26	Morgan Lewis Bockius LLP Defined Contribution Plan	Retirement Plans Defined Contribution Pension Plan	Self			
26.1	<u>VTTX</u> - Vanguard Target Retirement 2035 Inv (NASDAQ)	Corporate Securities Stock	Self	\$100,001 - \$250,000	Dividends,	None (or less than \$201)
27	Morgan Lewis Bockius LLP Tax-Saver Retirement Plan	Retirement Plans Defined Contribution Pension Plan	Self			
27.1	<u>BIGIX</u> - William Blair International Growth I (NASDAQ)	Mutual Funds Mutual Fund	Self	\$15,001 - \$50,000	Dividends, Capital Gains,	\$201 - \$1,000
27.2	<u>GGOIX</u> - Goldman Sachs Growth Opportunities Instl (NASDAQ)	Mutual Funds Mutual Fund	Self	\$15,001 - \$50,000	Dividends, Capital Gains,	\$2,501 - \$5,000

	<u>Asset</u>	<u>Asset Type</u>	<u>Owner</u>	<u>Value</u>	<u>Income Type</u>	<u>Income</u>
27.3	<u>SYIMX</u> - AMG Systematic Mid Cap Value Instl (NASDAQ)	Mutual Funds Mutual Fund	Self	\$15,001 - \$50,000	Dividends, Capital Gains,	\$2,501 - \$5,000
27.4	<u>VFORX</u> - Vanguard Target Retirement 2040 Inv (NASDAQ)	Mutual Funds Mutual Fund	Self	\$15,001 - \$50,000	Dividends, Capital Gains,	None (or less than \$201)
27.5	<u>VGSIX</u> - Vanguard REIT Index Inv (NASDAQ)	Mutual Funds Mutual Fund	Self	\$15,001 - \$50,000	Dividends, Capital Gains,	\$201 - \$1,000
28	JP Morgan Chase (Houston, Texas) <i>Type: Savings,</i>	Bank Deposit	Joint	\$15,001 - \$50,000	Interest,	None (or less than \$201)
29	Blackrock Lifepath Portfolio, Target 2035 401K	Mutual Funds Mutual Fund	Spouse	\$100,001 - \$250,000	Excepted Investment Fund,	None (or less than \$201)
30	<u>PAGP</u> - Plains GP Holdings, L.P.	Corporate Securities Stock	Joint	\$15,001 - \$50,000	Dividends,	\$1,001 - \$2,500

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	11/29/2015	Joint	--	CVX - Chevron Corporation CMN	Sale (Full)	\$15,001 - \$50,000	--
2	10/15/2015	Joint	--	CVX (Chevron Corporation CMN)	Sale (Partial)	\$15,001 - \$50,000	--
3	02/03/2015	Joint	PAGP	Plains GP Holdings, 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>GSRFX</u>	Goldman Sachs High Yield FI Rate Instl	Sale (Partial)	02/03/2015	\$15,001 - \$50,000	--
2	Joint	<u>BFK</u>	BlackRock Municipal Income Trust	Purchase	02/03/2015	\$100,001 - \$250,000	--
3	Joint	<u>BFK</u>	BlackRock Municipal Income Trust	Purchase	05/05/2015	\$15,001 - \$50,000	--
4	Joint	<u>BFK</u>	BlackRock Municipal Income Trust	Purchase	07/09/2015	\$100,001 - \$250,000	--
5	Joint	<u>GSLIX</u>	Goldman Sachs Large Cap Value Instl	Sale (Partial)	08/18/2015	\$1,001 - \$15,000	--
6	Joint	<u>GSSIX</u>	Goldman Sachs Small Cap Value Instl	Sale (Partial)	08/18/2015	\$1,001 - \$15,000	--
7	Joint	<u>GSLIX</u>	Goldman Sachs Large Cap Value Instl	Sale (Partial)	09/14/2015	\$1,001 - \$15,000	--
8	Joint	<u>GSSIX</u>	Goldman Sachs Small Cap Value Instl	Sale (Partial)	09/14/2015	\$1,001 - \$15,000	--
9	Joint	<u>GSTIX</u>	Goldman Sachs Strategic Growth Instl	Sale (Partial)	09/14/2015	\$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	07/24/2015 to 07/27/2015	Self, Spouse, Dependent Child	Personal friendship	Houston, Texas to Fischer's Island, New York	Private plane Amount: \$15,000.00	Lee and Allie Hanley Houston, Texas	

#	Date(s)	Traveler(s)	Travel		Reimbursed For	Who Paid	Comment
			Type	Itinerary			
2	09/04/2015 to 09/07/2015	Self, Spouse, Dependent Child	Personal friendship	Houston, TX to Cayman Islands and return.	Chart flight to Cayman Islands. Amount: \$30,000.00	Michael and Natasha Bleyzer Houston, Texas	

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	Points	Rate		Amount	Creditor	Comments
					(Term)				
1	2011	Joint	Mortgage	0	4%		\$250,001 - \$500,000	JP Morgan Chase Columbus, Ohio	-
2	2012	Joint	Other (Margin loan)	-	floating%		\$100,001 - \$250,000	Goldman Sachs New York, New York	The floating interest rate is broker call plus 100 basis points.
3	2015	Joint	Line of Credit	-	15.24%		\$15,001 - \$50,000	American Express Dallas, Texas	-
4	2015	Joint	Line of Credit	-	17.99%		\$15,001 - \$50,000	Citi Cards Des Moines, Iowa	-
5	2015	Joint	Line of Credit	-	13.24%		\$10,001 - \$15,000	Chase Wilmington, DE	-

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? **This is not my first report.**

Attachments & Comments

No attachments added.

No comments added.