

United States Senate

## Financial Disclosures

## Annual Report for Calendar 2020

The Honorable Rafael E Cruz (Cruz, Ted)

Filed 08/16/2021 @ 12:58 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 and Co Jersey City, NJ	> \$1,000
2	Self	Other (Advance payment for book)	Regnery Publishing Washington, DC	\$319,673.67

## 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	<b><u>GGLPX</u> - Goldman Sachs High Yield Municipal Fund Class P</b>	Mutual Funds Mutual Fund	Joint	\$1,001 - \$15,000	Dividends, Excepted Investment Fund,	None (or less than \$201)
2	<b><u>GMWPX</u> - Goldman Sachs Local Emerging Markets Debt Fund Cla</b>	Mutual Funds Mutual Fund	Joint	\$1,001 - \$15,000	Dividends, Excepted Investment Fund,	None (or less than \$201)
3	<b><u>GAJPX</u> - Goldman Sachs Dynamic Municipal Income Fund Class</b>	Mutual Funds Mutual Fund	Joint	\$1,001 - \$15,000	Excepted Investment Fund,	None (or less than \$201)
4	<b><u>GGNPX</u> - Goldman Sachs High Yield Floating Rate Fund Class</b>	Mutual Funds Mutual Fund	Joint	\$1,001 - \$15,000	Dividends, Excepted Investment Fund,	None (or less than \$201)
5	<b><u>GSPPX</u> - Goldman Sachs Strategic Growth Fund Class P</b>	Mutual Funds Mutual Fund	Joint	\$15,001 - \$50,000	Dividends, Excepted Investment Fund,	None (or less than \$201)
6	<b>XOM-Exxon Mobil Corporation (NYSE)</b>	Corporate Securities Stock	Joint	\$50,001 - \$100,000	Dividends,	\$5,001 - \$15,000
7	<b><u>GMYPX</u> - Goldman Sachs Large Cap Value Fund Class P</b>	Mutual Funds Mutual Fund	Joint	\$15,001 - \$50,000	Dividends, Excepted Investment Fund,	\$201 - \$1,000
8	<b>OGS-ONE Gas, Inc. Common Stock (NYSE)</b>	Corporate Securities Stock	Joint	\$15,001 - \$50,000	Dividends,	\$1,001 - \$2,500
9	<b><u>GMEPX</u> - Goldman Sachs China Equity Fund Class P</b> <i>Filer comment: The fund was previously named Goldman Sachs</i>	Mutual Funds Mutual Fund	Joint	\$15,001 - \$50,000	Dividends, Excepted Investment Fund.	None (or less than \$201)

previously named Goldman Sachs  
Asia Equity Fund Class P. The  
ticker symbol is the same.

Asset	Asset Type	Owner	Value	Income Type	Income	
10	<b>EPD-Enterprise Products Partners L.P. (NYSE)</b>	Corporate Securities Stock	Joint	\$100,001 - \$250,000	Dividends,	\$5,001 - \$15,000
11	<b>USAA 529 - Child 2</b> <i>Institution: USAA</i>	Education Savings Plans 529 College Savings Plan	Joint			
11.1	<b>Aged Based Option 9-11 Moderate Portfolio</b>	Mutual Funds Mutual Fund	Joint	\$50,001 - \$100,000	Excepted Investment Fund,	None (or less than \$201)
11.2	<b>Plan FBO Aggressive Growth Portfolio</b>	Mutual Funds Mutual Fund	Joint	\$50,001 - \$100,000	Excepted Investment Fund,	None (or less than \$201)
11.3	<b>Plan FBO Moderate Aggressive Portfolio</b>	Mutual Funds Mutual Fund	Joint	\$50,001 - \$100,000	Excepted Investment Fund,	None (or less than \$201)
11.4	<b>Plan FBO Moderate Portfolio</b>	Mutual Funds Mutual Fund	Joint	\$50,001 - \$100,000	Excepted Investment Fund,	None (or less than \$201)
12	<b>Fidelity 529 - Child 1</b> <i>Institution: Fidelity</i>	Education Savings Plans 529 College Savings Plan	Joint			
12.1	<b>MA 2027 Portfolio</b>	Mutual Funds Mutual Fund	Joint	\$250,001 - \$500,000	Excepted Investment Fund,	None (or less than \$201)
13	<b>Traditional IRA</b>	Retirement Plans IRA	Spouse			
13.1	<b>GAFPX - Goldman Sachs Enhanced Dividend Global Equity Port</b>	Mutual Funds Mutual Fund	Spouse	\$15,001 - \$50,000	Excepted Investment Fund,	\$201 - \$1,000
14	<b>Morgan Lewis Cash Balance</b>	Retirement	Self	\$250,001 - \$500,000	None,	None (or less than \$201)

<b>Retirement Plan</b>		Plans		\$500,000		
Asset	Benefit	Type	Owner	Value	Income Type	Income
		Defined Pension Plan				
15	<b>Bank of America</b> (Houston, Texas) <i>Type: Checking,</i>	Bank Deposit	Joint	\$1,001 - \$15,000	Interest,	None (or less than \$201)
16	<b>Bank of America</b> (Houston, Texas) <i>Type: Savings,</i>	Bank Deposit	Joint	\$1,001 - \$15,000	Interest,	None (or less than \$201)
17	<b>American Express</b> (Houston, Texas) <i>Type: Savings,</i>	Bank Deposit	Joint	\$1,001 - \$15,000	Interest,	None (or less than \$201)
18	<b>Texas ERS Retirement Account</b>	Retirement Plans Defined Benefit Pension Plan	Self	\$50,001 - \$100,000	None,	None (or less than \$201)
19	<b>Health Equity HSA</b> (Houston, Texas) <i>Type: Savings,</i>	Bank Deposit	Self	\$1,001 - \$15,000	Interest,	None (or less than \$201)
20	<b>Capital One 360</b> (Houston, Texas) <i>Type: Savings,</i>	Bank Deposit	Joint	\$1,001 - \$15,000	Interest,	None (or less than \$201)
21	<b>Morgan Lewis Bockius LLP Defined Contribution Plan</b>	Retirement Plans Defined Contribution Pension Plan	Self			
21.1	<b>Vanguard Target Retirement 2035 Tr II</b>	Mutual Funds Mutual Fund	Self	\$250,001 - \$500,000	Excepted Investment Fund,	None (or less than \$201)
22	<b>Morgan Lewis Bockius LLP Tax-Saver Retirement Plan</b>	Retirement Plans Defined	Self			

Asset	Defined Contribution Pension Asset Type	Asset Type	Owner	Value	Income Type	Income
22.1	<b>Vanguard Target Retirement 2040 Trust II</b>	Mutual Funds Mutual Fund	Self	\$15,001 - \$50,000	Excepted Investment Fund,	None (or less than \$201)
22.2	<b>VGSNX - Vanguard Real Estate Index Fund Institutional Shar</b>	Mutual Funds Mutual Fund	Self	\$15,001 - \$50,000	Excepted Investment Fund,	None (or less than \$201)
22.3	<b>MVTIX - Transamerica Mid Cap Value Opps I</b>	Mutual Funds Mutual Fund	Self	\$15,001 - \$50,000	Excepted Investment Fund,	None (or less than \$201)
22.4	<b>VMGRX - Vanguard Mid Cap Growth Inv</b>	Mutual Funds Mutual Fund	Self	\$50,001 - \$100,000	Excepted Investment Fund,	None (or less than \$201)
22.5	<b>WB International Growth CIT</b>	Mutual Funds Mutual Fund	Self	\$15,001 - \$50,000	Excepted Investment Fund,	None (or less than \$201)
23	<b>Loan to Ted Cruz for Senate Company: Ted Cruz for Senate (Austin, Texas)</b>	Accounts Receivable From a Business	Joint	\$500,001 - \$1,000,000	None,	None (or less than \$201)
24	<b>Goldman Sachs (Houston, Texas) Type: Savings,</b>	Bank Deposit	Child	\$1,001 - \$15,000	Interest,	None (or less than \$201)
25	<b>Goldman Sachs (Houston, Texas) Type: Savings,</b>	Bank Deposit	Child	\$1,001 - \$15,000	Interest,	None (or less than \$201)
26	<b>GS-The Goldman Sachs Group, Inc.</b>	Corporate Securities Stock	Spouse	\$500,001 - \$1,000,000	Dividends, Interest,	\$5,001 - \$15,000
27	<b>GGMPX - Goldman Sachs High Yield Fund Class P</b>	Mutual Funds Mutual Fund	Joint	\$1,001 - \$15,000	Dividends, Excepted Investment Fund,	None (or less than \$201)

28	<b>Spouse 401K</b>	Retirement Plans Asset Type Defined Contribution Pension Plan	Spouse Owner	Value	Income Type	Income
28.1	<b><u>LIJX</u> - BlackRock LifePath Index 2035 Fund Institutional S</b>	Mutual Funds Mutual Fund	Spouse	\$500,001 - \$1,000,000	Excepted Investment Fund,	None (or less than \$201)
29	<b><u>BFK</u> - BlackRock Municipal Income Trust</b>	Mutual Funds Mutual Fund	Joint	\$100,001 - \$250,000	Dividends, Interest, Excepted Investment Fund,	\$5,001 - \$15,000

#### 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? **No**

#### Part 4b. Transactions

Did you, your spouse, or dependent child buy, sell, or exchange an asset that exceeded \$1,000 that was not already reported on Part 4a? **Yes**

#	Owner	Ticker	Asset Name	Transaction Type	Transaction Date	Amount	Comment
1	Joint	<u>BFK</u>	BlackRock Municipal Income Trust	Purchase	01/30/2020	\$50,001 - \$100,000	--
2	Joint	--	GMWPX - Goldman Sachs Local Emerging Markets Debt Fund Class P	Purchase	02/05/2020	\$1,001 - \$15,000	--
3	Joint	<u>GMPX</u>	Goldman Sachs Large Cap Value Fund Class P	Purchase	02/28/2020	\$15,001 - \$50,000	--

#	Owner	Ticker	Asset Name	Type	Transaction Date	Amount	Comment
4	Joint	<u>GSPPX</u>	Goldman Sachs Strategic Growth Fund Class P	Purchase	02/28/2020	\$15,001 - \$50,000	--
5	Joint	<u>BFK</u>	BlackRock Municipal Income Trust	Purchase	04/24/2020	\$50,001 - \$100,000	--
6	Joint	--	MA Portfolio 2027 Fidelity Funds	Purchase	01/21/2020	\$1,001 - \$15,000	--
7	Joint	--	MA Portfolio 2027 Fidelity Funds	Purchase	02/18/2020	\$1,001 - \$15,000	--
8	Joint	--	MA Portfolio 2027 Fidelity Funds	Purchase	03/18/2020	\$1,001 - \$15,000	--
9	Joint	--	MA Portfolio 2027 Fidelity Funds	Purchase	04/20/2020	\$1,001 - \$15,000	--
10	Joint	--	MA Portfolio 2027 Fidelity Funds	Purchase	05/18/2020	\$1,001 - \$15,000	--
11	Joint	--	MA Portfolio 2027 Fidelity Funds	Purchase	06/18/2020	\$1,001 - \$15,000	--
12	Joint	--	MA Portfolio 2027 Fidelity Funds	Sale (Partial)	06/12/2020	\$1,001 - \$15,000	--
13	Joint	--	MA Portfolio 2027 Fidelity Funds	Purchase	07/20/2020	\$1,001 - \$15,000	--
14	Joint	--	MA Portfolio 2027 Fidelity Funds	Purchase	08/18/2020	\$1,001 - \$15,000	--
15	Joint	--	MA Portfolio 2027 Fidelity Funds	Purchase	09/18/2020	\$1,001 - \$15,000	--
16	Joint	--	MA Portfolio 2027 Fidelity Funds	Purchase	10/19/2020	\$1,001 - \$15,000	--
17	Joint	--	MA Portfolio 2027 Fidelity Funds	Purchase	11/18/2020	\$1,001 - \$15,000	--
18	Joint	--	MA Portfolio 2027 Fidelity Funds	Purchase	12/18/2020	\$1,001 - \$15,000	--
19	Joint	--	Age-Based Option 9-11: Moderate Portfolio	Sale (Partial)	06/12/2020	\$1,001 - \$15,000	--
20	Joint	--	Aggressive Growth Portfolio	Sale	06/12/2020	\$1,001 - \$15,000	--

(Partial) \$15,000

Trans- \$1,001 -

action (Partial) \$15,000

Type tion Date Amount Comment

Sale 06/12/2020 \$1,001 -

(Partial) \$15,000

#	Owner	Ticker	Portfolio Asset Name	Transaction Type	Transaction Date	Amount	Comment
21	Joint	--	Moderately Aggressive Portfolio	Trans- action (Partial) Type	06/12/2020	\$1,001 - \$15,000	--
22	Joint	--	Moderate Portfolio	Sale (Partial)	06/12/2020	\$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**? **No**

## 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	2012	Joint	Other (Margin loan)	-	floating% (on demand)	\$100,001 - \$250,000	Goldman Sachs New York, New York	The floating interest rate is broker call plus 100 basis points.
2	2015	Joint	Revolving Charge	-	15.99% (NA)	\$15,001 - \$50,000	Chase Wilmington, DE	-
3	2016	Joint	Mortgage	0	2.625% (30 year conv jumbo ARM)	\$1,000,001 - \$5,000,000	Bank of America Houston, Texas	-
4	2019	Joint	Revolving Charge	-	15.24% (NA)	\$10,001 - \$15,000	American Express New York, NY	-



## 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.
4	Aug 2003	Texas ERS Austin, TX	Continuing participation in an employee benefit plan	Continuing participation in employee benefit plan. There are no continuing contributions by the employer or employee.
5	May 2008	Morgan Lewis Houston, TX	Continuing participation in an employee benefit plan	Continuing participation in employee benefit plan. There are no continuing contributions by the employer or employee.
6	Mar 2020	Regnery Publishing Washington, DC	Royalty Agreement	Advance of \$400,000 payable in 3 installments; Hardcover 15% of net sales; on all net sales to the book trade of Publisher's hardcover editions at a discount of forty-eight percent (48%) or more off Publisher's catalog retail price, Author's royalty shall be reduced by one-half of one percentage point for each one

one-half of one percentage point for each one percentage point that the discount exceeds forty-eight percent; Paperback 7.5% of net sales; Sales outside the US 15% net proceeds; e-book 25% of net proceeds

#	Date	Parties Involved	Type
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## Part 10. Compensation

*Only required if you are a candidate or this is your first report:* Did any person or entity pay more than \$5,000 to you or for services provided by you? **This is not my first report.**

## Attachments & Comments

*No attachments added.*

*No comments added.*