TED CRUZ
TEXAS

SUITE SD-B40B
DIRKSEN BUILDING
WASHINGTON, DC 20510-4306
(202) 224-5922

United States Senate

October 21, 2013

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The Honorable Nancy Erickson
Secretary of the U.S. Senate
Hart Senate Office Building
Suite 232
Washington, DC 20510

Dear Secretary Erickson:

I inadvertently omitted, from my candidate disclosure filings on May 16, 2011 and July 9, 2012, a non-publicly traded asset that I possessed. I subsequently disclosed this asset in my May 15, 2013 financial disclosure report for calendar year 2012, and amendments to that filing have provided additional information.

The asset is a promissory note from CEP Investments Holdings Limited, which is incorporated in Road Town, British Virgin Islands and operates in Kingston, Jamaica. The promissory note was made in November 2002. It is for a principal sum of $75,000, and there was an oral agreement for an additional reasonable rate of interest on this sum.

Sincerely,

Senator Ted Cruz

00000624950

b/2

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DIRKSEN BUILDING
WASHINGTON, DC 20510-4306
(202) 224-5922

United States Senate

October 21, 2013

The Honorable Nancy Erickson
Secretary of the U.S. Senate
Hart Senate Office Building
Suite 232
Washington, DC 20510

Dear Secretary Erickson:

My calendar year 2012 financial disclosure report disclosed a non-publicly traded asset that I possessed, but the report inadvertently omitted certain information about this asset. The asset is a promissory note from CEP Investments Holdings Limited, which is incorporated in Road Town, British Virgin Islands and operates in Kingston, Jamaica. The promissory note was made in November 2002. It is for a principal sum of $75,000, and there was an oral agreement for an additional reasonable rate of interest on this sum. Amendments to my calendar year 2012 filing reflect this information.

Sincerely,

Senator Ted Cruz

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10/28/13

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UNITED STATES SENATE FINANCIAL DISCLOSURE REPORT FOR ANNUAL AND TERMINATION FILERS

☒ Amendment

ast Name	First Name and Middle Initial	Annual Report Calendar Year Covered by Report	Senate Office / Agency in Which Employed
Cruz	Rafael Edward	2012	Senator Ted Cruz
enate Office Address (Number, Street, City, State, and ZIP Code)	Senate Office Telephone Number *(Include Area Code)*	Termination Report Termination Date (mm/dd/yy)	Prior Office / Agency in Which Employed
SD-185	202-224-5922		

AFTER READING THE INSTRUCTIONS – ANSWER EACH OF THESE QUESTIONS AND ATTACH THE RELEVANT PART

	YES	NO		YES	NO
Did any individual or organization make a donation to charity in lieu of aying you for a speech, appearance, or article in the reporting period? f Yes, complete and attach PART I.	☐	☒	Did you, your spouse, or dependent child receive any reportable travel or reimbursements for travel in the reporting period (i.e., worth more than $350 from one source)? If Yes, complete and attach PART VI.	☐	☒
Did you or your spouse have earned income (e.g., salaries or fees) or non-nvestment income of more than $200 from any reportable source in the eporting period? f Yes, complete and attach PART II.	☒	☐	Did you, your spouse, or dependent child have any reportable liability (more than $10,000) during the reporting period? If Yes, complete and attach PART VII.	☒	☐
Did you, your spouse, or dependent child hold any reportable asset worth nore than $1,000 at the end of the period, or receive unearned or nvestment income of more than $200 in the reporting period? f Yes, complete & attach PART IIIA and/or IIIB.	☒	☐	Did you hold any reportable positions on or before the date of filing in the current calendar year? If Yes, complete and attach PART VIII.	☒	☐
Did you, your spouse, or dependent child purchase, sell, or exchange any eportable asset worth more than $1,000 in the reporting period? f Yes, complete and attach PART IV.	☐	☒	Do you have any reportable agreement or arrangement with an outside entity? If Yes, complete and attach PART IX.	☒	☐
Did you, your spouse, or dependent child receive any reportable gift in the eporting period (i.e., aggregating more than $350 and not otherwise xempt)? f Yes, complete and attach PART V.	☐	☒	If this is your FIRST Report: Did you receive compensation of more than $5,000 from a single source in the two prior years? If Yes, complete and attach PART X.	☐	☒

Each question must be answered and the appropriate PART attached for each "YES" response.

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Reporting Individual's Name	☒ Amendment	PART II. EARNED AND NON-INVESTMENT INCOME	Page Number
Ted Cruz			3

Report the source (name and address), type, and amount of earned income to you from any source aggregating $200 or more during the reporting period. For your spouse, report the source (name and address) and type of earned income which aggregate $1,000 or more during the reporting period. No amount needs to be specified for your spouse. (See p.3, CONTENTS OF REPORTS, Part B of Instructions.) Do not report income from employment by he U.S. Government for you or your spouse.

ndividuals not covered by the Honoraria Ban:
For you and /or your spouse, report honoraria income received which aggregates $200 or more by exact amount, give the date of, and describe the activity (speech, appearance or article) generating such honoraria payment. Do not include payments in lieu of honoraria reported on Part I.

	Name of Income Source	Address (City, State)	Type of Income	Amount
Example:	*JP Computers*	*Wash., DC* **EXAMPLE**	*Salary*	*$15,000*
	MCI (Spouse)	*Arlington, VA* **EXAMPLE**	*Salary*	*Over $1,000*
	Morgan, Lewis & Bockius LLP	Houston, TX	Salary	1,017,351
2	Goldman Sachs & Co (Spouse)	Houston, TX	Salary	Over $1,000
3	Young America's Foundation	Santa Barbara, CA (November 8-12, 2012)	Honorarium	$10,000
4				
5				
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Reporting Individual's Name: Ted Cruz

☒ Amendment

PART IIIA. PUBLICLY TRADED ASSETS AND UNEARNED INCOME SOURCES

Page Number 4

BLOCK A
Identity of Publicly Traded Assets And Unearned Income Sources

Report the complete name of each publicly traded asset held by you, your spouse, or your dependent child, *(See p.3, CONTENTS OF REPORTS, Part B of Instructions)* for production of income or investment which:
(1) had a value exceeding $1,000 at the close of the reporting period; and/or
(2) generated over $200 in "unearned" income during the reporting period.
Include on PART IIIA a complete identification of each public bond, mutual fund, publicly traded partnership interest, excepted investment fund, bank account, excepted and qualified blind trust, and publicly traded asset of a retirement plan.

BLOCK B
Valuation of Assets
At the close of reporting period. If None, or less than $1,001, check the first column.

BLOCK C
Type and Amount of Income

Example: S, DC, or J	Asset	BLOCK B: None (or less than $1,001)	$1,001 - $15,000	$15,001 - $50,000	$50,001 - $100,000	$100,001 - $250,000	$250,001 - $500,000	$500,001 – $1,000,000	Over $1,000,000***	$1,000,001 - $5,000,000	$5,000,001 - $25,000,000	$25,000,001 - $50,000,000	Over $50,000,000	BLOCK C: Type of Income — None	Dividends	Rent	Interest	Capital Gains	Excepted Investment Fund	Excepted Trust	Qualified Blind Trust	Other (Specify Type)	Amount of Income — None (or less than $201)	$201 - $1,000	$1,001 - $2,500	$2,501 - $5,000	$5,001 - $15,000	$15,001 - $50,000	$50,001 - $100,000	$100,001 - $1,000,000	Over $1,000,000***	$1,000,001 - $5,000,000	Over $5,000,000	Actual Amount Required if "Other" Specified
Example: S, DC, or J	*IBM Corp. (stock)*				X										X							*Example*		X										*Example*
Example: S, DC, or J	*(S) Keystone Fund*					X													X			*Example*	X											*Example*
	BFK (J)					X									X												X							
	GSMTX (J)			X											X									X										
	GSHIX (J)		X												X									X										
	GIMDX (J)		X												X									X										
	GHYIX (J)			X											X										X									
	CVX (J)				X										X										X									
	XOM (J)				X										X										X									
	GS (J)		X												X								X											
	OKE (J)				X										X											X								
D	EPD (J)				X										X											X								

EXEMPTION TEST *(see instructions before marking box)*: If you omitted any asset because it meets the three-part test for exemption described in the instructions, please check box to the right. ☐

** This category applies only if the asset is/was held independently by the spouse or dependent child. If the asset is/was either held by the filer or jointly held, use the other categories of value, as appropriate.

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Reporting Individual's Name: Ted Cruz ☒ Amendment

PART IIIA. PUBLICLY TRADED ASSETS AND UNEARNED INCOME SOURCES

Page Number 5

BLOCK A — Identity of Publicly Traded Assets And Unearned Income Sources

Report the complete name of each publicly traded asset held by you, your spouse, or your dependent child, *(See p.3, CONTENTS OF REPORTS, Part B of Instructions)* for production of income or investment which:
(1) had a value exceeding $1,000 at the close of the reporting period; and/or
(2) generated over $200 in "unearned" income during the reporting period.
Include on PART IIIA a complete identification of each public bond, mutual fund, publicly traded partnership interest, excepted investment fund, bank account, excepted and qualified blind trust, and publicly traded asset of a retirement plan.

BLOCK B — Valuation of Assets

At the close of reporting period. If None, or less than $1,001, check the first column.

BLOCK C — Type and Amount of Income

	BLOCK A	BLOCK B												BLOCK C: Type of Income									BLOCK C: Amount of Income									
		None (or less than $1,001)	$1,001 - $15,000	$15,001 - $50,000	$50,001 - $100,000	$100,001 - $250,000	$250,001 - $500,000	$500,001 – $1,000,000	Over $1,000,000***	$1,000,001 - $5,000,000	$5,000,001 - $25,000,000	$25,000,001 - $50,000,000	Over $50,000,000	None	Dividends	Rent	Interest	Capital Gains	Excepted Investment Fund	Excepted Trust	Qualified Blind Trust	Other (Specify Type)	None (or less than $201)	$201 - $1,000	$1,001 - $2,500	$2,501 - $5,000	$5,001 - $15,000	$15,001 - $50,000	$50,001 - $100,000	$100,001 - $1,000,000	Over $1,000,000***	$1,000,001 - $5,000,000	Over $5,000,000	Actual Amount Required if "Other" Specified
Example: S, DC, or J	*IBM Corp. (stock)*				X										X							*Example*		X									*Example*
	(S) Keystone Fund					X													X			*Example*	X										*Example*
	GSTIX (J)			X											X									X									
2	GSLIX (J)			X											X									X									
3	GSSIX (J)			X											X									X									
4	GSAIX (J)		X												X								X										
5	Roth IRA GIDGX (S)			X											X									X									
6	GS Money Market (J)						X										X						X										
7	Bank of America Savings (J)			X													X							X									
8	American Express Savings (J)		X														X						X										
9	ING Direct Savings (J)		X														X						X										
10	JP Morgan Savings (J)		X														X						X										

EXEMPTION TEST *(see instructions before marking box)*: If you omitted any asset because it meets the three-part test for exemption described in the instructions, please check box to the right. ☐

*** This category applies only if the asset is/was held independently by the spouse or dependent child. If the asset is/was either held by the filer or jointly held, use the other categories of value, as appropriate.

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Reporting Individual's Name: Ted Cruz

☒ Amendment

PART IIIA. PUBLICLY TRADED ASSETS AND UNEARNED INCOME SOURCES

Page Number: 6

BLOCK A — Identity of Publicly Traded Assets And Unearned Income Sources

Report the complete name of each publicly traded asset held by you, your spouse, or your dependent child, *(See p.3, CONTENTS OF REPORTS, Part B of Instructions)* for production of income or investment which:

(1) had a value exceeding $1,000 at the close of the reporting period; and/or

(2) generated over $200 in "unearned" income during the reporting period.

Include on PART IIIA a complete identification of each public bond, mutual fund, publicly traded partnership interest, excepted investment fund, bank account, excepted and qualified blind trust, and publicly traded asset of a retirement plan.

BLOCK B — Valuation of Assets

At the close of reporting period. If None, or less than $1,001, check the first column.

BLOCK C — Type and Amount of Income

	BLOCK A	BLOCK B: Valuation of Assets												BLOCK C: Type of Income									Amount of Income										
		None (or less than $1,001)	$1,001 - $15,000	$15,001 - $50,000	$50,001 - $100,000	$100,001 - $250,000	$250,001 - $500,000	$500,001 – $1,000,000	Over $1,000,000***	$1,000,001 - $5,000,000	$5,000,001 - $25,000,000	$25,000,001 - $50,000,000	Over $50,000,000	None	Dividends	Rent	Interest	Capital Gains	Excepted Investment Fund	Excepted Trust	Qualified Blind Trust	Other (Specify Type)	None (or less than $201)	$201 - $1,000	$1,001 - $2,500	$2,501 - $5,000	$5,001 - $15,000	$15,001 - $50,000	$50,001 - $100,000	$100,001 - $1,000,000	Over $1,000,000***	$1,000,001 - $5,000,000	Over $5,000,000	Actual Amount Required if "Other" Specified
S, Example: DC, or J	*IBM Corp. (stock)*				X										X							*Example*		X									*Example*
	(S) Keystone Fund					X													X			*Example*	X										*Example*
	Citibank Savings (J)		X														X						X										
	VTTHX (Morgan Lewis Defined Contribution) (Self)					X													X				X										
3	GGOIX 401K (J)			X															X				X										
	HWMIX (J)			X															X				X										
	VGSIX (J)			X															X				X										
	VFORX (J)			X															X				X										
	BIGIX 401K (J)			X															X				X										
	Bancorp Bank HAS (Self)		X														X						X										
9	Blackrock Lifepath Portfolio, Target 2035 401K (S)					X													X				X										
0	Fidelity 529 MA 2027 Portfolio (J)					X													X				X										

EXEMPTION TEST *(see instructions before marking box)*: If you omitted any asset because it meets the three-part test for exemption described in the instructions, please check box to the right. ☐

** This category applies only if the asset is/was held independently by the spouse or dependent child. If the asset is/was either held by the filer or jointly held, use the other categories of value, as appropriate.

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eporting Individual's Name | ☒ Amendment

Ted Cruz

PART IIIA. PUBLICLY TRADED ASSETS AND UNEARNED INCOME SOURCES

Page Number 7

BLOCK A
Identity of Publicly Traded Assets And Unearned Income Sources

Report the complete name of each publicly raded asset held by you, your spouse, or your dependent child, *(See p.3, CONTENTS OF REPORTS, Part B of nstructions)* for production of income or nvestment which:
(1) had a value exceeding $1,000 at the close of the reporting period; and/or
(2) generated over $200 in "unearned" income during the reporting period.
nclude on PART IIIA a complete dentification of each public bond, mutual und, publicly traded partnership interest, excepted investment fund, bank account, excepted and qualified blind trust, and publicly traded asset of a retirement plan.

BLOCK B
Valuation of Assets
At the close of reporting period. If None, or less than $1,001, check the first column.

BLOCK C
Type and Amount of Income

		Valuation of Assets (BLOCK B)												Type of Income (BLOCK C)									Amount of Income (BLOCK C)											
		None (or less than $1,001)	$1,001 - $15,000	$15,001 - $50,000	$50,001 - $100,000	$100,001 - $250,000	$250,001 - $500,000	$500,001 – $1,000,000	Over $1,000,000***	$1,000,001 - $5,000,000	$5,000,001 - $25,000,000	$25,000,001 - $50,000,000	Over $50,000,000	None	Dividends	Rent	Interest	Capital Gains	Excepted Investment Fund	Excepted Trust	Qualified Blind Trust	Other (Specify Type)	None (or less than $201)	$201 - $1,000	$1,001 - $2,500	$2,501 - $5,000	$5,001 - $15,000	$15,001 - $50,000	$50,001 - $100,000	$100,001 - $1,000,000	Over $1,000,000***	$1,000,001 - $5,000,000	Over $5,000,000	Actual Amount Required if "Other" Specified
Example: S, DC, or J	*IBM Corp. (stock)*				X										X							*Example*		X									*Example*
	(S) Keystone Fund					X													X			*Example*	X											*Example*
	USAA 529 - Age Based Aggressive Growth			X																X			X											
	USAA 529 - Aggressive Growth			X																X			X											
	USAA 529 - Moderate			X																X			X											
	USAA 529 - Balanced			X																X			X											
0																																		

EXEMPTION TEST *(see instructions before marking box)*: If you omitted any asset because it meets the three-part test for exemption described in the instructions, please check box to the right. ☐

** This category applies only if the asset is/was held independently by the spouse or dependent child. If the asset is/was either held by the filer or jointly held, use the other categories of value, as appropriate.

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Reporting Individual's Name: Ted Cruz

☒ Amendment

PART IIIB. NON-PUBLICLY TRADED ASSETS AND UNEARNED INCOME SOURCES

Page Number: 8

BLOCK A — Identity of Non-Publicly Traded Assets and Unearned Income Sources

Report the name, address (city, state and description) of each interest held by you, your spouse, or your dependent child (See p.3, CONTENTS OF REPORTS, Part B of Instructions) for the production of income or investment in a non-public trade or business which:

(1) had a value exceeding $1,000 at the close of the reporting period; and/or

(2) generated over $200 in "unearned" income during the reporting period.

Include the above report for each underlying asset, which is not incidental to the trade or business. Publicly traded assets held by non-public entity may be listed on Part IIIA.

BLOCK B — Valuation of Assets

At the close of reporting period. If None, or less than $1,001, check the first column.

BLOCK C — Type and Amount of Income

		BLOCK B: Valuation of Assets												BLOCK C: Type of Income									BLOCK C: Amount of Income										
		None (or less than $1,001)	$1,001 - $15,000	$15,001 - $50,000	$50,001 - $100,000	$100,001 - $250,000	$250,001 - $500,000	$500,001 – $1,000,000	Over $1,000,000***	$1,000,001 - $5,000,000	$5,000,001 - $25,000,000	$25,000,001 - $50,000,000	Over $50,000,000	None	Dividends	Rent	Interest	Capital Gains	Excepted Investment Fund	Excepted Trust	Qualified Blind Trust	Other (Specify Type)	None (or less than $201)	$201 - $1,000	$1,001 - $2,500	$2,501 - $5,000	$5,001 - $15,000	$15,001 - $50,000	$50,001 - $100,000	$100,001 - $1,000,000	Over $1,000,000***	$1,000,001 - $5,000,000	Over $5,000,000	Actual Amount Required if "Other" Specified
Example: S, DC, or J	*JP Computer, Software Design, Wash DC*				X										X							*Example*		X									*Example*
	Undeveloped land, Dubuque, Iowa					X								X								*Example*	X										*Example*
	Morgan Lewis - Cash Balance Retirement Plan (SEI, Oaks, PA)						X												X									X					
	Morgan Lewis - Firm Capital Account (CitiBank, Philadelphia, PA)						X										X								X								
	Texas ERS Retirement Account (Austin, TX)		X																X				X										
	Loan to Ted Cruz for Senate (Austin, TX)							X						X									X										
	Promissory Note - CEP Investments Holdings Limited (Road Town, B.V.I.)					X								X									X										
0																																	

EXEMPTION TEST *(see instructions before marking box)*: If you omitted any asset because it meets the three-part test for exemption described in the instructions, please check box to the right. ☐

* This category applies only if the asset is/was held independently by the spouse or dependent child. If the asset is/was either held by the filer or jointly held, use the other categories of value, as appropriate.

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Reporting Individual's Name: Ted Cruz

☒ Amendment

PART VII. LIABILITIES

Page Number: 9

Report liabilities over $10,000 owed by you, your spouse, or dependent child (See p.3, CONTENTS OF REPORTS, Part B of Instructions), to any one creditor at any time during the reporting period. Check the highest amount owed during the reporting period. Exclude: (1) mortgages on your personal residences unless rented **(except for Senators)**; (2) loans secured by automobiles, household furniture or appliances; and (3) liabilities owed to certain relatives listed in instructions. See Instructions for reporting revolving charge accounts.

	Name of Creditor	Address	Type of Liability	Date Incurred	Interest Rate	Discount Points Paid for Mortgage *(Senators Only)*	Term if Applicable	Category of Amount of Value (x)										
								$10,001 - $15,000	$15,001 - $50,000	$50,001 - $100,000	$100,001 - $250,000	$250,001 - $500,000	$500,001 - $1,000,000	Over $1,000,000***	$1,000,001 - $5,000,000	$5,000,001 - $25,000,000	$25,000,001 - $50,000,000	Over $50,000,000
S, **Example**: DC, or J	*First District Bank*	*Wash., DC*	*Mortgage on undeveloped land*	*1992*	*13%*	*1 pt*	*25 yrs*			X		E	X	A	M	P	L	E
	(J) John Jones	*Wash., DC*	*Promissory Note*	*2000*	*10%*	*n/a*	*On dmd*				X	E	X	A	M	P	L	E
	CitiBank	New York, NY	Law Firm Capital Account - paid off in 2013	2008	1.25%		10 Years					x						
	CitiBank	New York, NY	Line of Credit - paid off in 2012	2012	Prime-Floatin		On demand					x						
	Goldman Sachs Margin Loan	New York, NY	Margin Loan - paid off in 2012	2012	Floatin g		On demand					x						
9																		
10																		
11																		
12																		

EXEMPTION TEST *(see instructions before marking box)*: If you omitted any asset because it meets the three-part test for exemption described in the instructions, please check box to the right. ☐

*** This category applies only if the asset is/was held independently by the spouse or dependent child. If the asset is/was either held by the filer or jointly held, use the other categories of value, as appropriate.

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eporting Individual's Name	☒ Amendment	Page Number
Ted Cruz	**PART VIII. POSITIONS HELD OUTSIDE U.S. GOVERNMENT**	10

Report any positions held by you during the applicable reporting period whether compensated or not. Positions include, but are not limited to those of an officer, director, trustee, general partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise or any non-profit organization or educational institution. Both the year and month must be reported for the period of time that the position was held.

Exclude: Positions with federal government, religious, social, fraternal, or political entities, and those solely of an honorary nature.

	Name of Organization	Address (City, State)	Type of Organization	Position Held	From (Mo/Yr)	To (Mo/Yr)
Example:	*National Assn. of Rock Collectors*	*NY,NY* **EXAMPLE**	*Non-profit education*	*President*	*6 / 91*	*Present*
	Jones & Smith	*Hometown, USA* **EXAMPLE**	*Law Firm*	*Partner*	*7 / 96*	*11 / 1X*
	Free Enterprise Institute	Houston, TX	Non-Profit Education	Trustee	10/11	Present
0						
1						
2						
3						

Compensation in excess of $200 from any position must be reported in Part II.

11/12

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10/28/13

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Reporting Individual's Name	☒ Amendment	PART IX. AGREEMENTS OR ARRANGEMENTS	Page Number
Ted Cruz			11

Report your agreements or arrangements for future employment (including agreements with a publisher for writing a book or sale of other intellectual property), leaves of absence, continuation of payment by a former employer (including severance payments), or continuing participation in an employee benefit plan. See Instructions regarding the reporting of negotiations for any of these arrangements or benefits.

	Status and Terms of any Agreement or Arrangement	Parties	Date
Example:	*Pursuant to partnership agreement, will receive lump sum payment of capital account and partnership share calculated on services performed through 11/0X and retained pension benefits (diversified, independently managed, fully funded, defined contribution plan)*	*Jones & Smith, Hometown, USA* **EXAMPLE**	*1 / 94*
	Employment agreement with XYZ Co. to become Vice President of Government Relations. Terms of agreement include salary between $50,001-$100,000, signing bonus between $2,501-$5,000 and stock options	*XYZ Co., Bethesda, MD* **EXAMPLE**	*1 / 1X*
	Promissory Note from CEP Investments Holdings Limited (principal sum of $75,000 plus reasonable rate of interest)	CEP Investments Holdings Limited (incorporated in B.V.I.; operates in Jamaica)	11 / 2002
2			
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