

# Financial Disclosures

## Annual Report for Calendar 2016

**The Honorable John Cornyn (Cornyn, John)**

Filed 05/15/2017 @ 5:14 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	Other (IRA Distribution)	UBS Inherited IRA Weehawken, New Jersey	\$8,842.53

### 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>Bank of America checking account</b> (Austin, Texas) Type: Checking,	Bank Deposit	Joint	\$1,001 - \$15,000	None,	None (or less than \$201)
2	<b>Bank of America savings account</b> (Austin, Texas) Type: Savings,	Bank Deposit	Joint	\$15,001 - \$50,000	Interest,	None (or less than \$201)

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	<u>Asset</u>	<u>Asset Type</u>	<u>Owner</u>	<u>Value</u>	<u>Income Type</u>	<u>Income</u>
3	<b>UBS</b>	Brokerage/Managed Account	Self			
3.1	<b>UBS Bank USA Deposit account</b> (San Antonio, Texas) <i>Type: Brokerage Sweep Account,</i>	Bank Deposit	Self	None (or less than \$1,001)	Interest,	None (or less than \$201)
3.2	<b>AAPL - Apple Inc.</b>	Corporate Securities Stock	Self	\$15,001 - \$50,000	Dividends,	\$201 - \$1,000
4	<b>UBS IRA (Spouse)</b>	Retirement Plans IRA	Spouse			
4.1	<b>UBS Bank USA Deposit account</b> (San Antonio, Texas) <i>Type: IRA Cash Accounts,</i>	Bank Deposit	Spouse	\$1,001 - \$15,000	Interest,	None (or less than \$201)
4.2	<b>SMCWX - American Funds SMALLCAP World A</b>	Mutual Funds Mutual Fund	Spouse	\$1,001 - \$15,000	Excepted Investment Fund,	None (or less than \$201)
4.3	<b>AGTHX - American Funds Growth Fund of Amer A</b>	Mutual Funds Mutual Fund	Spouse	\$1,001 - \$15,000	Excepted Investment Fund,	\$201 - \$1,000
4.4	<b>ANWPX - American Funds New Perspective A</b>	Mutual Funds Mutual Fund	Spouse	\$1,001 - \$15,000	Excepted Investment Fund,	\$201 - \$1,000
5	<b>UBS Inherited IRA</b>	Retirement Plans IRA	Self			
5.1	<b>UBS Bank USA Deposit account (Inherited IRA)</b> (San Antonio, Texas) <i>Type: IRA Cash Accounts,</i>	Bank Deposit	Self	\$1,001 - \$15,000	Interest,	None (or less than \$201)
5.2	<b>SMCWX - American Funds SMALLCAP World A (Inherited IRA)</b>	Mutual Funds Mutual Fund	Self	\$50,001 - \$100,000	Excepted Investment Fund,	None (or less than \$201)

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	<u>Asset</u>	<u>Asset Type</u>	<u>Owner</u>	<u>Value</u>	<u>Income Type</u>	<u>Income</u>
5.3	<b>AGTHX - American Funds Growth Fund of Amer A (Inherited IRA)</b>	Mutual Funds Mutual Fund	Self	\$50,001 - \$100,000	Excepted Investment Fund,	\$2,501 - \$5,000
5.4	<b>ANEFX - American Funds New Economy A (Inherited IRA)</b>	Mutual Funds Mutual Fund	Self	\$15,001 - \$50,000	Excepted Investment Fund,	\$201 - \$1,000
5.5	<b>ANWPX - American Funds New Perspective A (Inherited IRA)</b>	Mutual Funds Mutual Fund	Self	\$50,001 - \$100,000	Excepted Investment Fund,	\$1,001 - \$2,500
6	<b>Employees Retirement System of Texas</b>	Retirement Plans Defined Benefit Pension Plan	Self	\$50,001 - \$100,000	Other, (Retirement Distribution)	Other \$11,347.44
7	<b>TX County and District Retirement System</b>	Retirement Plans Defined Benefit Pension Plan	Self	\$15,001 - \$50,000	Other, (Retirement Distribution)	Other \$8,764.44
8	<b>Employees Retirement System of Texas</b>	Retirement Plans Defined Benefit Pension Plan	Spouse	\$15,001 - \$50,000	Other, (Retirement Distribution)	Other \$8,327.64
9	<b>Judicial Retirement System of Texas</b>	Retirement Plans Defined Benefit Pension Plan	Self	\$50,001 - \$100,000	Other, (Retirement Distribution)	Other \$60,009.60
10	<b>Hartford Life Insurance Co (Inherited Annuity)</b> <i>Provider: Hartford Life Insurance Co</i>	Annuity Fixed	Self	\$1,001 - \$15,000	Other, (Annuity Distribution)	Other \$1,356.96
11	<b>Hartford Life Insurance Co (Inherited Annuity)</b> <i>Provider: Hartford Life Insurance Co</i>	Annuity Fixed	Self	\$1,001 - \$15,000	Other, (Annuity Distribution)	Other \$2,308.92
12	<b>UBS (Spouse Separate Property)</b>	Brokerage/Managed Account	Spouse			

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	<u>Asset</u>	<u>Asset Type</u>	<u>Owner</u>	<u>Value</u>	<u>Income Type</u>	<u>Income</u>
12.1	<b>UBS Bank USA Deposit Account</b> (San Antonio, TX) <i>Type: Brokerage Sweep Account,</i>	Bank Deposit	Spouse	\$1,001 - \$15,000	Interest,	None (or less than \$201)
12.2	<b>AMRMX - American Funds American Mutual A</b>	Mutual Funds Mutual Fund	Spouse	\$50,001 - \$100,000	Excepted Investment Fund,	\$2,501 - \$5,000
12.3	<b>ANCFX - American Funds Fundamental Invs A</b>	Mutual Funds Mutual Fund	Spouse	\$50,001 - \$100,000	Excepted Investment Fund,	\$2,501 - \$5,000
12.4	<b>AIVSX - American Funds Invmt Co of Amer A</b>	Mutual Funds Mutual Fund	Spouse	\$50,001 - \$100,000	Excepted Investment Fund,	\$5,001 - \$15,000
12.5	<b>CAIBX - American Funds Capital Income Bldr A</b>	Mutual Funds Mutual Fund	Spouse	\$50,001 - \$100,000	Excepted Investment Fund,	\$2,501 - \$5,000

#### 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? **Yes**

#	Owner	Ticker	Asset Name	Transaction Type	Transaction Date	Amount	Comment
1	Self	<u>ANEFX</u>	American Funds New Economy A	Sale (Full)	09/14/2016	\$15,001 - \$50,000	--
2	Spouse	<u>CAIBX</u>	American Funds Capital Income Bldr A	Sale (Partial)	03/16/2016	\$1,001 - \$15,000	--
3	Self	<u>SMCWX</u>	American Funds SMALLCAP World A	Sale (Partial)	06/24/2016	\$1,001 - \$15,000	--
4	Self	<u>AGTHX</u>	American Funds Growth Fund of Amer A	Sale (Partial)	06/24/2016 hide me	\$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? **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	Points	Rate (Term)	Amount	Creditor	Comments
1	2010	Joint	Mortgage	0	4.375% (30)	\$250,001 - \$500,000	Wells Fargo Des Moines, IA	-
2	2012	Joint	Mortgage	0	3% (15)	\$250,001 - \$500,000	Wells Fargo Des Moines, IA	-
3	2014	Self	Revolving Charge	-	16.99% (On Demand)	\$15,001 - \$50,000	Citibank Sioux Falls, SC	-

## Part 8. Positions

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

#	Position Dates	Position Held	Entity	Entity Type	Comments
1	Apr 2009 to present	Trustee	MC Testamentary Trust San Antonio, TX	Other (Trust)	As trustee I hold no beneficial interest in the trust.
2	Jan 2013 to present	Other (Board Member)	Clements Center Statecraft Board Austin, Texas	Educational Organization	
3	Oct 2016 to present	Other (Honorary Member)	University of Virginia Charlottesville, VA	Educational Organization	

## Part 9. Agreements

Did you have any reportable agreement or arrangement with an outside entity? **No**

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## 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.*

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