

# UNITED STATES SENATE FINANCIAL DISCLOSURE REPORT FOR ANNUAL AND TERMINATION REPORTS

☐ Amendment

Last Name	First Name and Middle Initial	Annual Report Calendar Year Covered by Report:	Senate Office / Agency in Which Employed
Coons	Christopher A.	12/31/2011	U.S. Senate (Delaware)
Senate 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
127A Russell Senate Office Building Washington, DC 20510	202-224-5042		


## 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 paying you for a speech, appearance, or article in the reporting period? If Yes, Complete and Attach PART I.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	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.	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Did you or your spouse have earned income (e.g., salaries or fees) or non-investment income of more than \$200 from any reportable source in the reporting period? If Yes, Complete and Attach PART II.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	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.	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Did you, your spouse, or dependent child hold any reportable asset worth more than \$1,000 at the end of the period, or receive unearned or investment income of more than \$200 in the reporting period? If Yes, Complete & Attach PART IIIA and/or IIIB.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	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.	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset worth more than \$1,000 in the reporting period? If Yes, Complete and Attach PART IV.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Do you have any reportable agreement or arrangement with an outside entity? If Yes, Complete and Attach PART IX.	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Did you, your spouse, or dependent child receive any reportable gift in the reporting period (i.e., aggregating more than \$350 and not otherwise exempt)? If Yes, Complete and Attach PART V.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	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.	<input type="checkbox"/>	<input checked="" type="checkbox"/>

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

**File this report and any amendments with the Secretary of the Senate, Office of Public Records, Room 232, Hart Senate Office Building, U.S. Senate, Washington, DC 20510. \$200 Penalty for filing more than 30 days after due date.**

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The statement will be made available by the Office of the Secretary of the Senate to any requesting person upon written application and will be reviewed by the Select Committee on Ethics. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil and criminal sanctions. (See 5 U.S.C. app. 4, § 104, and 18 U.S.C. § 1001.)

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.		5/15/12

**For Official Use Only - Do Not Write Below This Line**

It is the Opinion of the reviewer that the statements made in this form are in compliance with Title I of the Ethics in Government Act.	Signature of Reviewing Official	Date (Month, Day, Year)

**FOR OFFICIAL USE ONLY  
Do Not Write Below this Line**

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 SECRETARY OF THE SENATE  
 PUBLIC RECORDS  
 12 MAY 15 PM 5:14

Reporting Individual's Name <b>CHRISTOPHER A. COONS</b>		<input type="checkbox"/> Amendment		<b>PART IIIA. PUBLICLY TRADED ASSETS AND UNEARNED INCOME SOURCES</b>															Page Number <b>2</b>																								
<b>BLOCK A</b> <b>Identity of Publicly Traded Assets And Unearned Income Sources</b>  Report the complete name of each publicly traded asset held by you, your spouse, or your dependent child, (See p.3, <i>CONTENTS OF REPORTS Part B of Instructions</i> ) 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 this PART IIIA a complete identification of each public bond, mutual fund, publicly traded partnership interest, excepted investment funds, bank accounts, excepted and qualified blind trusts, and publicly traded assets of a retirement plan.				<b>BLOCK B</b> <b>Valuation of Assets</b>  At the close of reporting period. If None, or less than \$1,001, Check the first column.										<b>BLOCK C</b> <b>Type and Amount of Income</b>																													
														<b>Type of Income</b>										<b>Amount of Income</b>																			
														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 \$5,000,001 - \$25,000,000 \$25,000,001 - \$50,000,000 Over \$50,000,000										Actual Amount Required if "Other" Specified									
Example: S, IBM Corp. (stock) or J, (S) Keystone Fund														Example										Example																			
														Example										Example																			
1 J WSFS BANK (CKG ACC)														x																													
2 FCG ADVISORS LLC (IRA) - SEE ATTACHED STATEMENTS														x										x																			
3 S FCG ADVISORS LLC (IRA) - SEE ATTACHED STATEMENTS SPOUSE														x										x																			
4 S OPPENHEIMER FUNDS 529 - MODERATELY AGGRESSIVE														x										x																			
5 S OPPENHEIMER FUNDS 529 - 9-11 YEARS														x										x																			
6 S OPPENHEIMER FUNDS 529 - SCHOOL YEARS														x										x																			
7 S OPPENHEIMER FUNDS 529 - 12-14 YEARS														x										x																			
8 S ANN COONS CHAR REM TRUST - SEE ATTACHED														x										x																			
9 CHRIS COONS CHAR REM TRUST - SEE ATTACHED														x										x																			
10																																											

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

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

Page Number

CHRISTOPHER A. COONS

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**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 and Amount of Income																						
		At the close of reporting period. If None, or less than \$1,001, Check the first column.										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
Example: S, JP Computer, Software Design, Wash DC					X										X						Example		X										Example	
Example: or J Undeveloped land, Dubuque, Iowa						X								X							Example	X											Example	
1	W.L GORE ASSOCIATES, INC., Manufacturing, Newark DE <i>CAC</i>									X					X											X								
2	S W.L. GORE ASSOCIATES, INC., Manufacturing, Newark DE								X						X											X								
3	J RESIDENTIAL RENTAL, WILMINGTON, DE	X														X										X								
4																																		
5																																		
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7																																		
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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 <b>CHRISTOPHER A. COONS</b>		<input type="checkbox"/> Amendment		<b>PART IV. TRANSACTIONS</b>										Page Number <b>4</b>	
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Report any purchase, sale, or exchange by you, your spouse, or dependent child (See p.3 CONTENTS OF REPORTS Part B of Instructions) during the reporting period of any real property, stocks, bonds, commodity futures, and other securities when the amount of the transaction exceeded \$1,000. Include transactions that resulted in a loss. Do not report a transaction involving property used solely as your personal residence, or a transaction between you, your spouse, or dependent child. Please clarify which two properties are involved in any reportable exchange.

Identification of Assets		Transaction Type (x)			Transaction Date (Mo., Day, Yr.)	Amount of Transaction (x)										
		Purchase	Sale	Exchange		\$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
Example:	<div style="display: flex; justify-content: space-between;"> <div style="width: 10%;">S, DC, or J</div> <div style="width: 80%;">           IBM Corp. (stock) NYSE            (DC) Microsoft (stock) NASDAQ/OTC         </div> </div>	X			2/1/1X		X			E	X	A	M	P	L	E
			X		1/27/1X			X	E	X	A	M	P	L	E	
1	J RESIDENTIAL RENTAL, WILMINGTON, DE		X		6/17/11			X								
2	S OPPENHEIMER FUNDS 529 - 12-14 YEARS <span style="margin-left: 20px;">CAC</span> <span style="float: right;">E</span>	X			4/27/11			X								
3	PROSHARES SHORT S&P 500		X		4/14/11	X										
4																
5																
6																
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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.  
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Reporting Individual's Name	<input type="checkbox"/> Amendment	<b>PART V. GIFTS</b>	Page Number <b>5</b>
CHRISTOPHER A. COONS			

Report the source, brief description and value of all gifts aggregating more than \$350 in value received by you, your spouse, or your dependent child, (See p.3 CONTENTS OF REPORTS Part B of Instructions), from each source. Gifts with a value of \$140 or less need not be aggregated towards the disclosure threshold. "Gift" is defined in the Instructions.

**Exclude:** (1) Bequests and other forms of inheritance; (2) Political campaign contributions; (3) Communications to your offices including subscriptions to newspapers and periodicals; (4) Consumable products provided by home state businesses to your offices, if those products are intended for consumption by persons other than yourself; (5) Gifts received prior to your Federal employment; (6) Gifts to your spouse or dependent child totally independent of his or her relationship to you; (7) Gifts from relatives; (8) Personal hospitality of any individual (see instructions); (9) meals and beverages unless consumed in connection with a gift of overnight lodging; and (10) Food, lodging, transportation, and entertainment provided by a foreign government within a foreign country, or by federal, state, D.C., or local governments.

Name of Income Source		Address of Source	Dates and Brief Description	Gift Value	
Example:	Mr. John Q. Smith	Anytown, VA	EXAMPLE	August 12, 201X, Silver platter - Ethics Committee wedding waiver granted	\$400
1	SARAH I. GORE	NEWARK, DE	2011 GIFT FOR ESTATE PLANNING PURPOSES	\$13,000	
2	ROBERT W. GORE - MARGARET CATHERINE COONS (DC)	NEWARK, DE	2011 529 COLLEGE SAVINGS ACCOUNT CONTRIBUTION	\$13,000	
3	ROBERT W. GORE - JOHN CHRISTOPHER COONS (DC)	NEWARK, DE	2011 529 COLLEGE SAVINGS ACCOUNT CONTRIBUTION	\$13,000	
4	ROBERT W. GORE - MICHAEL ANDREW COONS (DC)	NEWARK, DE	2011 529 COLLEGE SAVINGS ACCOUNT CONTRIBUTION	\$13,000	
5					
6					
7					
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11					

**Note:** The Senate Gift Rule prohibits most gifts from lobbyists and foreign agents and most gifts from other sources in excess of \$49.99.

Reporting Individual's Name

☐ Amendment

CHRISTOPHER A. COONS

## PART VII. LIABILITIES

Page Number

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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; (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	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
	<i>Example: S, DC, or J</i>	<i>First District Bank</i>	<i>Wash., DC</i>	<i>1992</i>	<i>13%</i>	<i>25yrs</i>			X		E	X	A	M	P	L	E
		<i>(J) John Jones</i>	<i>Wash., DC</i>	<i>2000</i>	<i>10%</i>	<i>On dmd</i>				X	E	X	A	M	P	L	E
1	J WELLS FARGO	DES MOINES, IA	MORTGAGE ON RENTAL	2005	6%	30YRS			X								
2	J WSFS BANK	WILMINGTON, DE	LINE OF CREDIT	2010	4.5%	ON DMD			X								
3	AMERICAN EXPRESS	NEWARK, NJ	REVOLVING CHARGE	1986	15.24% +	MONTHLY	X										
4																	
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Reporting Individual's Name <b>CHRISTOPHER A. COONS</b>		<b>PART VIII. POSITIONS HELD OUTSIDE U.S. GOVERNMENT</b>				Page Number <b>7</b>
<p>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.</p> <p><b>Exclude:</b> Positions with federal government, religious, social, fraternal, or political entities, and those solely of an honorary nature.</p>						
	Name of Organization	Address (City, State)	Type of Organization	Position Held	From (Mo/Yr)	To (Mo/Yr)
<b>Example:</b>	<i>National Assn. of Rock Collectors</i>	<i>NY, NY</i> <b>EXAMPLE</b>	<i>Non-profit education</i>	<i>President</i>	<i>6 / 91</i>	<i>Present</i>
	<i>Jones &amp; Smith</i>	<i>Hometown, USA</i> <b>EXAMPLE</b>	<i>Law Firm</i>	<i>Partner</i>	<i>7 / 96</i>	<i>11 / 1X</i>
1	THE IRREVOCABLE TRUST FBO GRANDCHILDREN OF ROBERT W. GORE	WILMINGTON, DE	TRUST	CO-TRUSTEE	12/11	PRESENT
2						
3						
4						
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13						
<b>Compensation in excess of \$200 from any position must be reported in Part II.</b>						

Christopher A. Coons  
IRA

As of 12/31/2011

Security Description	Ticker	Total Value
Fidelity Cash Reserves	FDRXX	8,736.02
Oppenheimer Commod Stra Tot	QRANX	5,081.41
Oppenheimer Gold & Spl Minerals	OGMINX	14,853.89
Oppenheimer Inter'l Small Company	OSMINX	9,222.58
Oppenheimer Internat'l Grow Cl N	OIGNX	8,722.18
Oppenheimer Quest Int'l Value Cl N	QIVNX	5,972.63
Oppenheimer Real Estate Fd Cl N	ORENX	8,269.65
Oppenheimer Small & Mid Cap Value	OSCNX	15,259.26
Oppenheimer Value Fund Class N	CGRNX	31,084.40
Oppenheimer Internat'l Bond Cl N	OIBNX	22,849.99
Sentinel Short Matur Govt Fd Cl S	SSSGX	20,716.31

TOTAL

150,768.32

Ann M. Coons  
IRA

As of 12/31/2011

Security Description	Ticker	Total Value
Fidelity Cash Reserves	FDRXX	371.43
Virtus Alpha Sector Rotation Cl C	PWBCX	32,521.63
Virtus Foreign Opportunities Cl C	JVICX	4,052.14
TOTAL		<u>36,945.20</u>

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Christopher A. Coons  
CRU

As of 12/31/2011

## Security Description

Total Value

Httfd Ttl Return Bond	37,390.88
AlBern VPS Intl Val	30,742.39
Httfd Intl Opp HLS	18,818.82
Put VT Intl Equity	28,306.54
AlBern VPS Val	19,826.96
Fidelity VIP Equity-Incm	20,009.76
Fidelity VIP Grwth	9,750.44
Httfd Disciplined Eqty HLS	91,287.66
Invesco VK VI Comstock	13,222.32
Oppen Cap App VA	9,732.98
Oppen Main St SmMidCap	23,584.27
Put VT SmCap Val	20,317.11

TOTAL	322,990.13
Checking	24,619.59

Ann M. Coons  
CRU  
As of 12/31/2011

## Security Description

**Total Value**

Httfd Ttl Return Bond	15,512.15
AlBern VPS Intl Val	12,753.93
Httfd Intl Op HLS	7,807.26
Put VT Intl Equity	11,743.38
AlBern VPS Val	8,225.49
Fidelity VIP Equity-Incm	8,301.34
Fidelity VIP Grwth	4,045.11
Httfd Disciplined Eqty HLS	37,872.00
Httfd SmCap Grwth HLS	5,508.28
Invesco VK VI Comstock	5,485.47
Oppen Cap App VA	4,037.87
Oppen Main St SmMidCap	6,988.77
Put VT SmCap Val	5,619.25

TOTAL	133,900.30
Checking	20,373.08

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