



**COMMONWEALTH OF PENNSYLVANIA
OFFICE OF GENERAL COUNSEL**

Michael J. Gennett
Prosecuting Attorney

mgennett@pa.gov
Prosecution Division

Adrian R. King, Jr., Esquire
Ballard Spahr, LLP
1735 Market Street, 51st Floor
Philadelphia, PA 19103-7599

RE: Consent Agreement: Commonwealth of Pennsylvania, Bureau of Corporations and Charitable Organizations v. Caroline Estey King; File No.: 21-98-014811

Dear Attorney King:

The Acting Secretary of the Commonwealth issued the enclosed Order adopting the terms of the Consent Agreement in the above-captioned matter.

The Secretary's approval of this Consent Agreement completely and finally resolves this matter. Accordingly, this case is now closed. I trust that your client will take the necessary steps to become registered before performing such services in the future.

Thank you for your cooperation in this matter. If you have any questions, please do not hesitate to contact me.

Sincerely,

Michael J. Gennett
Prosecuting Attorney
Commonwealth of Pennsylvania
Department of State

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Department of State
Prothonotary

COMMONWEALTH OF PENNSYLVANIA
DEPARTMENT OF STATE
BEFORE THE SECRETARY OF THE COMMONWEALTH

Commonwealth of Pennsylvania,
Bureau of Corporations and
Charitable Organizations

v.

Caroline Estey King
Respondent

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File No.: 21-98-014811

CONSENT AGREEMENT AND ORDER

The Commonwealth of Pennsylvania, Bureau of Corporations and Charitable Organizations ("Bureau"), by and through its undersigned prosecuting attorney, Michael J. Gennett and Caroline Estey King, ("Respondent"), stipulate as follows in settlement of the above-captioned matter:

JURISDICTION

1. This matter is before the Acting Secretary of the Commonwealth ("Secretary") pursuant to the Solicitation of Funds for Charitable Purposes Act, Act of December 19, 1990, P.L. 1200, No. 202, as amended ("Act"), 10 P.S. §§ 162.1 et. seq.
2. At all relevant and material times, Respondent acted as a professional fundraising counsel as defined by the Act.

STIPULATED FACTS

3. Respondent's last known address on file with the Bureau is 260 W. Hartwell Lane, Philadelphia, PA 19118.

4. Respondent is no longer registered as a professional fundraising counsel (PFC) in Pennsylvania.

5. Respondent admits that the following allegations are true:

a. Respondent performed professional fundraising counsel services during the period of 2012 through 2015 on behalf of a charitable organization soliciting contributions in Pennsylvania without submitting a contract and obtaining BCCO approval at least ten (10) working days prior to commencing PFC services on behalf of the charitable organization.

AGREED VIOLATIONS

6. Respondent admits and agrees that by engaging in the aforementioned activities, Respondent committed violations of the Act as follows:

a. Section 162.15(a)(1), by and through Section 162.8(d), Written contract, in that Respondent performed PFC services during the period of 2012 through 2015 on behalf of a charitable organization soliciting contributions in Pennsylvania without submitting a contract and obtaining Bureau of Corporations and Charitable Organization (BCCO) approval at least ten (10) working days prior to commencing PFC services on behalf of the charitable organization.

PROPOSED ORDER

7. The participants, intending to be legally bound, consent to issuance of the following Order in settlement of this matter:

a. Respondent violated Section 15(a)(1) of the Act, 10 P.S. § 162.15(a)(1), by and through 10 P.S. § 162.8(d) in that Respondent performed PFC services during the period of 2012 through 2015 on behalf of a charitable organization soliciting contributions in Pennsylvania without submitting a contract and obtaining Bureau of Corporations and Charitable Organization

(BCCO) approval at least ten (10) working days prior to commencing PFC services on behalf of the charitable organization.

ADMINISTRATIVE PENALTIES

8. An **ADMINISTRATIVE FINE** of **Three Thousand Dollars (\$3,000.00)** is levied upon Respondent. Respondent shall tender the full sum of **Three Thousand Dollars (\$3,000.00)**, with this executed Consent Agreement.

a. Payment shall be by **certified check, cashier's check, attorney's check, or U.S. Postal money order.**

b. The instrument of payment shall be **made payable to the "Commonwealth of Pennsylvania,"** and shall be valid for a period of at least one hundred eighty (180) days.

c. Respondent agrees that payment will be made by one of the methods indicated in subparagraph (a) above and that payment by uncertified personal check, corporate check or cash will not be accepted.

CASE SETTLED AND DISCONTINUED

9. This case shall be deemed settled and discontinued upon the Secretary issuing an Order adopting this Consent Agreement and the Respondent's successful completion of the requirements of this Order. However, nothing in this Consent Agreement and Order shall preclude the Prosecuting Attorney for the Bureau from filing charges or the Secretary from imposing disciplinary or corrective measures for violations or facts not contained in this Consent Agreement and Order.

ACKNOWLEDGEMENT OF NOTICE AND WAIVER OF HEARING

10. Respondent waives the filing of an Order to Show Cause in this matter. Respondent knowingly and voluntarily waives the right to an administrative hearing in this matter, and to the following rights related to the hearing: to be represented by counsel at the hearing; to present witnesses and testimony in defense or in mitigation of any sanction that may be imposed for a violation; to cross-examine witnesses and to challenge evidence presented by the Bureau; to present legal arguments by means of a brief; and to take an appeal from any final adverse decision.

AGREEMENT NOT BINDING ON OTHER PARTIES

11. This Consent Agreement is between the Bureau and Respondent only. It does not bind any other administrative or governmental entity of the Commonwealth of Pennsylvania, including any other bureau within the Department of State. Except as otherwise noted, this Agreement is to have no legal effect if (a) the Office of General Counsel expresses an objection to the Agreement's form or legality and/or (b) unless and until the Secretary issues the stipulated Order.

EFFECT OF SECRETARY'S REJECTION

12. Should the Secretary not approve this Consent Agreement, presentation to and consideration of this Consent Agreement and other documents and matters by the Secretary shall not prejudice the Secretary from further participation in the adjudication of this matter. This paragraph is binding on the participants even if the Secretary does not approve this Consent Agreement.

ENTIRE AGREEMENT

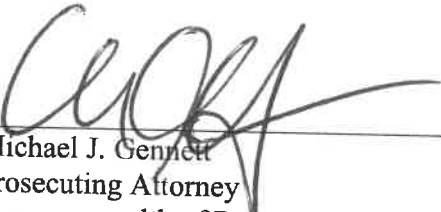
13. This Agreement contains the whole agreement between the parties; provided, however, that the captions printed in the various provisions of this agreement are for ease of reading only and are not to be interpreted as forming any part of this agreement. There are no other terms, obligations, covenants, representations, statements or conditions, or otherwise, of any kind whatsoever, concerning this Agreement.

AGREEMENT DOES NOT PREVENT REFERRAL TO OTHER AGENCIES

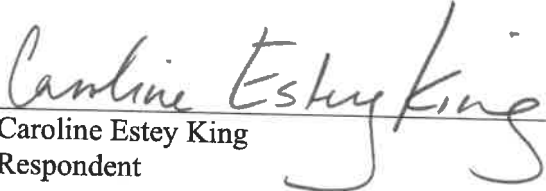
14. The parties acknowledge that other federal, state, and/or local agencies may have jurisdiction over the activities of, or representations made by, Respondent and its officers, directors, agents, employees or independent contractors. Nothing in this Consent Agreement or the Order based upon this Consent Agreement shall preclude representatives of the Bureau from referring any information or data produced as a result of this matter to any federal, state, or local agency or governmental unit having jurisdiction over the activities of Respondent or any officer, director, agent, employee or independent contractor of the Respondent.

VERIFICATION OF FACTS AND STATEMENTS

15. Respondent verifies that the facts and statements set forth in this Agreement are true and correct to the best of Respondent's knowledge, information and belief. Respondent understands that statements in this Agreement are made subject to the criminal penalties of 18 Pa.C.S. § 4904 relating to unsworn falsification to authorities.



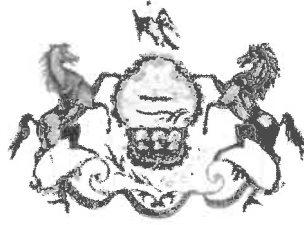
Michael J. Gennett
Prosecuting Attorney
Commonwealth of Pennsylvania
Department of State



Caroline Estey King
Respondent
By: CAROLINE ESTEY KING
Title: RESPONDENT

DATED: 18 NOV 2021

DATED:



IN THE MATTER OF
Caroline Estey King
File No.: 21-98-014811

ORDER

AND NOW, this 29th day of November 2021, the foregoing Consent Agreement is hereby approved and the terms set forth therein are hereby adopted and incorporated herein as the Order of the Secretary of the Commonwealth, now issued in resolution of this matter.

THIS ORDER shall take effect immediately.

BY ORDER:

A handwritten signature in black ink that reads "Veronica W. Degraffenreid".

Veronica Degraffenreid
Acting Secretary of the Commonwealth

For the Commonwealth:

Michael J. Gennett
Prosecuting Attorney
Department of State
Office of Chief Counsel
306 North Office Building
Capitol Complex
401 North Street
Harrisburg, PA 17120

Attorney for Respondent:

Adrian R. King, Jr., Esquire
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1735 Market Street, 51st Floor
Philadelphia, PA 19103-7599