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

PROTHONOTARY  
2020 JAN 17 AM 10:50  
Department of State

**Commonwealth of Pennsylvania,  
Bureau of Corporations and  
Charitable Organizations**

v.

File No. 19-98-010850

**Grant Thornton Foundation,  
Respondent**

**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 Grant Thornton Foundation, ("Respondent"), stipulate as follows in settlement of the above-captioned matter:

**JURISDICTION**

1. This matter is before the 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 charitable organization as defined by the Act.

**STIPULATED FACTS**

3. Respondent's last known address is 171 North Clark Street, Suite 200, Chicago, IL 60601.

4. Respondent unintentionally operated as an unregistered charitable organization in Pennsylvania from approximately June 16, 2018 through the present. Registrations were submitted that unintentionally failed to include all required information.

5. Respondent is in the process of correcting filing deficiencies to renew its registration as a charitable organization with the Department of State, Bureau of Corporations and Charitable Organizations (Bureau) and will hold certificate of registration no.: 36393.

6. Respondent was not exempt from registration under 10 P.S. § 162.6(a)(8) since Respondent received contributions in excess of \$25,000.00 per annum.

#### **AGREED VIOLATIONS**

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

a. Violating Section 15(a)(1) of the Act, 10 P.S. § 162.15(a)(1), by and through 10 P.S. § 162.5(a), by soliciting contributions without the approved registration filed with the Bureau.

#### **PROPOSED ORDER**

8. 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. § 162.5(a), by soliciting contributions without the approved registration filed with the Bureau.

#### **ADMINISTRATIVE PENALTIES**

9. An ADMINISTRATIVE FINE of One Thousand Dollars (\$1,000.00) is levied upon Respondent. Respondent shall tender the full sum of One Thousand Dollars (\$1,000.00), with this executed Consent Agreement. Payment shall be by certified check, cashier's check, attorney's check, or U.S. Postal money order. 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. 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**

10. 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 future violations or facts not contained in this Consent Agreement and Order.

#### **ACKNOWLEDGEMENT OF NOTICE AND WAIVER OF HEARING**

11. 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**

12. 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**

13. 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**


14. 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**

15. 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**

16. 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  
Department of State  
Commonwealth of Pennsylvania

/S/   
\_\_\_\_\_  
Grant Thornton Foundation

Respondent  
By: Sam Shaw  
Print  
Title: Treasurer  
Print

DATE: 7 JAN 2020

DATE: 12/30/2019



**IN THE MATTER OF  
Grant Thornton Foundation  
File No.: 19-98-010850**

**ORDER**

AND NOW, this 17<sup>th</sup> day of January 2020, the foregoing Consent Agreement is hereby approved, and the terms set forth herein 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 "Kathy Boockvar". The signature is written in a cursive style and is positioned above a horizontal line.

**Kathy Boockvar  
Secretary of the Commonwealth**

**For the Commonwealth:**

**Michael J. Gennett  
Prosecuting Attorney  
306 North Office Building  
401 North Street  
Harrisburg, PA 17120**

**Respondent:**

**Grant Thornton Foundation  
171 North Clark Street, Suite 200  
Chicago, IL 60601**