

JUN 14 2017

**LOBBYIST FILING AGREEMENT**

STATE ETHICS COMMISSION

This Agreement, made this day of 12<sup>th</sup> June, 2017, by and between Karen Sisson, lobbyist for Walgreens Company, and William J. Colquhoun, Staff Counsel, to the Maryland State Ethics Commission (hereinafter "Staff Counsel").

**RECITALS**

The State Ethics Commission ("the Commission") is the executive agency of the State of Maryland established by Chapter 513, Acts of 1979 for the purpose of enforcing the Maryland Ethics Law (General Provisions Article, Title 5, Annotated Code of Maryland, hereinafter the "Ethics Law") including the provisions of Subtitle 7, the lobbying disclosure program.

Karen Sisson ("the filer") is an individual whose lobbying activities on behalf of Walgreens Company, ("the employer") during the period of November 1, 2016 to October 31, 2017, required her to register as a lobbyist with the State Ethics Commission as required by § 5-704(d)(1) of the Ethics Law.

The filer was required to submit a Lobbying Activity Report by May 31, 2017 for the period of November 1, 2016 through April 30, 2017, as required by § 5-705(a)(1)(i) of the Ethics Law, and failed to submit the required report in a timely manner.

On June 6, 2017, the filer submitted the delinquent Lobbying Activity Report for the period of November 1, 2016 through April 30, 2017.

The filer is voluntarily entering into this Agreement to admit her failure to timely file her Lobbying Activity Report for the period of November 1, 2016 through April 30, 2017, and to pay a sum of money in lieu of potential late filing fees and fines that could be assessed pursuant to § 5-405 of the Ethics Law.


**NOW THEREFORE**, in consideration of the agreements herein contained and effective on the Commission's acceptance of the terms of this Agreement, Karen Sisson, lobbyist for the Walgreens Company, and William J. Colquhoun, Staff Counsel agree as follows:

1. The filer admits that she did not timely file her Lobbying Activity Report on behalf of the employer for the period November 1, 2016 through April 30, 2017 by May 31, 2017, in violation of § 5-705(a)(1)(i) of the Ethics Law.
2. The filer subsequently filed the required Lobbying Activity Report with the Commission (a copy of which has been attached hereto and made a part hereof).
3. The filer understands that failure to comply with the lobbying disclosure provisions of the Ethics Law may subject her to the possibility of late fees, civil fines, reprimand, a suspension of her ability to lobby for compensation

and other penalties. The filer acknowledges that she has been advised that the filing deadlines for activity reports are May 31<sup>st</sup> for the period of November 1<sup>st</sup> through April 30<sup>th</sup> and November 30<sup>th</sup> for the period May 1<sup>st</sup> through October 31<sup>st</sup> if she is registered in those reporting periods. The filer also acknowledges that future late filed activity reports could be viewed as knowing and willful violations of the Ethics Law.

4. Based on the facts stated in this Agreement, the filer agrees to pay as settlement, the amount of ONE HUNDRED and no/100 DOLLARS (\$100.00) at the time of the execution of this Agreement in lieu of potential late fees and in lieu of civil fines for the above admitted late activity report (paragraph 1).
5. The filer waives a formal hearing on this matter and agrees that acceptance of the Agreement by the Commission would constitute, based on her admission of violations of the Ethics Law, a final action and finding of violation by the Commission, and that, pursuant to § 5-407 of the Ethics Law, this Agreement and materials relating to this matter are not subject to the confidentiality provisions of the Ethics Law and will be public information unless otherwise protected.
6. Staff Counsel, upon execution of this Agreement by the filer, will recommend that the Commission suspend further proceedings against the filer. The filer understands that the Commission is under no obligation to accept this Agreement and may decide to take other action, including issuing a complaint.
7. The filer understands a copy of this Agreement will be mailed to her employer.
8. The filer and Staff Counsel have entered into this Agreement for the sole purpose of resolving the late submission of the Lobbyist Activity Report and for the payment of late fees and other fines and for no other purpose.

**IN WITNESS WHEREFORE**, Karen Sisson, lobbyist for Walgreens Company, and William J. Colquhoun, Staff Counsel for the State Ethics Commission, have signed below.



William J. Colquhoun, Staff Counsel  
State Ethics Commission  
45 Calvert Street, 3<sup>rd</sup> Floor  
Annapolis, MD 21401  
(410) 260-7770



Karen Sisson, Lobbyist  
Walgreens Company

State of Iowa

County of: Polk, to wit:

Before me, the undersigned, a Notary Public in and for the State and County aforesaid, personally appeared Karen Sisson, who made oath on this 12 day of June, 2017, in due form of law that the matters and facts hereinabove set forth are true to the best of her knowledge, information and belief, and are her voluntary act, and that she executed this document for the purpose set forth herein

Notary Public

My Commission Expires: 4/6/2019

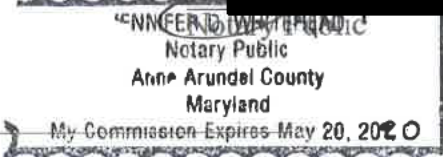


State of Maryland

County of: Anne Arundel, to wit:

Before me, the undersigned, a Notary Public in and for the State and County aforesaid, personally appeared William J. Colquhoun, Staff Counsel to the State Ethics Commission, who made oath on this 14<sup>th</sup> day of June, 2017, in due form of law, and that he executed this agreement for the purposes set forth herein

My Commission Expires: 5/20/2020



Accepted by the Commission

Janet E. McHugh, Chair  
for the Commission

Date: 6/15, 2017

## MARYLAND STATE ETHICS COMMISSION

45 Calvert Street, 3rd Floor  
Annapolis, Maryland 21401  
410-260-7770  
Toll Free 1-877-669-6085

### GENERAL LOBBYING ACTIVITY FORM (Form #4)

Read instructions carefully before completing this form. If you had reportable expenses or compensation during the reporting period, complete Parts A, B, C, D, E, F and G of the Activity Report. If you had no reportable compensation or expenses during the reporting period, but were registered to engage in lobbying, check here \_\_\_\_\_ and complete Parts A, E, F, and G. If additional forms are required for this employer, those forms should be attached to and made part of this filing.

Activity Report for reporting period: November 01, 2016 through April 30, 2017

Termination Report: Yes \_\_\_\_\_ No  x

Termination Date:

#### PART A Identification of Regulated Lobbyist (Registration and Employer)

**A. 1)** Identifying Information (complete all blanks, compare to registration form, and explain any differences)

a) Name: Karen Sisson

b) Permanent Address (Include firm name if applicable):

Firm Name: Walgreen Co.

Address:

104 Wilmot Rd.

MS #1428

Deerfield, IL 60015

c) Business telephone: 224-723-2633

Cell phone:

**A. 2)** Identification of others required to register:

a) Was any other person required to register as a lobbyist on behalf of the filer?

Yes \_\_\_\_\_ No  x

b) If the answer to a) is "Yes", identify each such person below and give their name and address:

**A. 3)** Identification of employer (complete only if registrant acts on behalf of another):

a) Did you engage in lobbying activity on behalf of a person or entity other than yourself?

Yes  x  No \_\_\_\_\_

Name: Walgreens Company

Permanent Address:

200 Wilmot Road

Deerfield, IL 60015

Business Telephone: 800-925-4733

Nature of business: Health and Wellness Company

Website of employer:

b) Did you represent any other person or entity with regard to the matters covered by this registration?

Yes \_\_\_\_\_ No  x

**A. 4)** Primary purpose of the organization:

Is your employer, or you if there was no employer, organized and operated for the primary purpose of attempting to influence any legislative or executive action?

Yes \_\_\_\_\_ No  x

**A. 5)** Registration Information:

a) For what period of registration did you engage in lobbying activity for this employer, or for yourself if you did not have an employer?

November 01, 2016 to October 31, 2017

- B. 7)** What was the total compensation paid to you, not including any sums reported in any other section of Part B of this report? B-7 \$21,000.00  
 Was the amount prorated because you were compensated for services in addition to lobbying activities?  
 Yes  x  No
- B. 8)** What was the total for salaries, compensation and reimbursed expenses you paid to your staff related to lobbying services for this employer? B-8 \$0.00
- B. 9)** Did you incur any additional office expenses not reported in B-7 or B-8? B-9 \$0.00  
 Yes   No  x   
 If yes, list the amount:
- B. 10)** Did you incur any cost for professional and technical research and assistance not reported in B-7 or B-8? B-10 \$0.00  
 Yes   No  x   
 If yes, list the amount:
- B. 11)** Did you incur any expenses for publications or expenses related to expressly encouraging persons to communicate with officials or employees? B-11 \$0.00  
 Yes   No  x   
 If yes, list the amount:
- B. 12)** Did you pay any fees or incur any expenses for witnesses who were engaged to appear on behalf of your employer? B-12 \$0.00  
 Yes   No  x   
 If yes, list the name and amount for each.
- Total B-12 Expenses \$0.00
- B. 13)** Did you incur any other expenses for this employer not otherwise accounted for in this report? If yes, list the amount and provide an explanation. B-13 \$0.00  
 Yes   No  x   
 If yes, list the amount:  
 Please provide an explanation:  
N/A
- TOTAL \$21,000.00**

- C.** Did you give any gifts or participate in the giving of any gifts with a cumulative value of \$75 or more? (Forms 13C and 13D, Section 15-704(c))  
 Yes   No  x
- D.** Did you give any gifts or participate in the giving of any gifts of meals and beverages to elected Executive Officials? (Forms 13A and 13B, Section 15-705)  
 Yes   No  x
- E.** Did you engage in any business transactions with officials during the reporting period? (Form 21, Section 15-706)  
 Yes   No  x
- F.** During the reporting period, did you make any political contributions, either directly or indirectly, for the benefit of the Governor, Lt Governor, Attorney General, Comptroller member of the General Assembly or a candidate for election to any of those offices?  
 Yes   No  x

Please provide any narrative that you may wish with regard to any of the figures or responses in the report:

### PART G Signature and Oath

The Public Ethics Law provides the following:

(d) *Development of electronic filing procedures.* - The Ethics Commission shall develop procedures under which a statement under this subtitle may be filed electronically and without additional cost to the individual who files the statement.

(e) *Oath or affirmation for electronically filed statements.* - (1) If the Activity Form (Form #4) filed electronically under subsection (d) of this section is required to be made under oath or affirmation, the oath or affirmation shall be made by a signed statement that:

- i. is in the Activity Form (Form #4) or attached to and made part of the Activity Form (Form #4); and
- ii. is made expressly under the penalties for perjury.

(2) A signed statement made under paragraph (1) of this subsection subjects the individual making it to the penalties for perjury to the same extent as an oath or affirmation made before an individual authorized to administer oaths.