

# State of Alabama Disclosure Statement

## Procurement & Business Services

### Overview


As of July 1st, 2017, Procurement and Business Services has implemented the requirement of a completed and notarized disclosure statement to be included with any backup documentation submitted for transactions in excess of \$5,000.00. This includes transactions which involve quotes, proposals, bids, contracts, or grant proposals.

Auburn University shall not enter into any contract or appropriate any public funds with any person(s) who refuses to provide information required by Act 2001-955.

To access the State of Alabama Disclosure statement, please click on the following link:

<http://eforms.alacourt.gov/Finance%20Forms/State%20of%20Alabama%20Disclosure%20Statement.pdf>

- 1) Before submitting the disclosure statement for review by PBS, please make sure the following information is provided:
  - a. Entity Completing the Form, Address, & Telephone Number
  - b. Auburn University or AU Department receiving goods, services, or is responsible for grant award, Address, & Telephone Number
  - c. The type of transaction for which the form is provided.

	<h2 style="margin: 0;">State of Alabama</h2> <h1 style="margin: 0;">Disclosure Statement</h1> <p style="margin: 0;">(Required by Act 2001-955)</p>
<small>ENTITY COMPLETING FORM</small>	
<b>A)</b> <small>ADDRESS</small>  <small>CITY, STATE, ZIP</small>	<small>TELEPHONE NUMBER</small> (    )
<small>STATE AGENCY/DEPARTMENT THAT WILL RECEIVE GOODS, SERVICES, OR IS RESPONSIBLE FOR GRANT AWARD</small>	
<b>B)</b> <small>ADDRESS</small> 212 Ingram Hall <small>CITY, STATE, ZIP</small> Auburn University, AL 36849	<small>TELEPHONE NUMBER</small> (334 ) 844-7771
<small>This form is provided with:</small>	
<b>C)</b> <input type="checkbox"/> Contract <input type="checkbox"/> Proposal <input type="checkbox"/> Request for Proposal <input type="checkbox"/> Invitation to Bid <input type="checkbox"/> Grant Proposal	

2) If the answer to any question below is “YES,” all information requested must be provided. If the answer is “NO,” please have the supplier list “N/A” as their response. Please see below for an example of what this section may look like once it is completed.

Have you or any of your partners, divisions, or any related business units previously performed work or provided goods to any State Agency/Department in the current or last fiscal year?

Yes  No

If yes, identify below the State Agency/Department that received the goods or services, the type(s) of goods or services previously provided, and the amount received for the provision of such goods or services.

STATE AGENCY/DEPARTMENT	TYPE OF GOODS/SERVICES	AMOUNT RECEIVED
Alabama Department of Transportation	Electrical Supplies	\$752,145.94
Auburn University	Electrical Supplies	\$243,854.65

Have you or any of your partners, divisions, or any related business units previously applied and received any grants from any State Agency/Department in the current or last fiscal year?

Yes  No

If yes, identify the State Agency/Department that awarded the grant, the date such grant was awarded, and the amount of the grant.

STATE AGENCY/DEPARTMENT	DATE GRANT AWARDED	AMOUNT OF GRANT
N/A		

1. List below the name(s) and address(es) of all public officials/public employees with whom you, members of your immediate family, or any of your employees have a family relationship and who may directly personally benefit financially from the proposed transaction. Identify the State Department/Agency for which the public officials/public employees work. (Attach additional sheets if necessary.)

NAME OF PUBLIC OFFICIAL/EMPLOYEE	ADDRESS	STATE DEPARTMENT/AGENCY
N/A		

2. List below the name(s) and address(es) of all family members of public officials/public employees with whom you, members of your immediate family, or any of your employees have a family relationship and who may directly personally benefit financially from the proposed transaction. Identify the public officials/public employees and State Department/Agency for which the public officials/public employees work. (Attach additional sheets if necessary.)

NAME OF FAMILY MEMBER	ADDRESS	NAME OF PUBLIC OFFICIAL/ PUBLIC EMPLOYEE	STATE DEPARTMENT/ AGENCY WHERE EMPLOYED
N/A			

If you identified individuals in items one and/or two above, describe in detail below the direct financial benefit to be gained by the public officials, public employees, and/or their family members as the result of the contract, proposal, request for proposal, invitation to bid, or grant proposal. (Attach additional sheets if necessary.)

N/A

Describe in detail below any indirect financial benefits to be gained by any public official, public employee, and/or family members of the public official or public employee as the result of the contract, proposal, request for proposal, invitation to bid, or grant proposal. (Attach additional sheets if necessary.)

N/A

List below the name(s) and address(es) of all paid consultants and/or lobbyists utilized to obtain the contract, proposal, request for proposal, invitation to bid, or grant proposal:

NAME OF PAID CONSULTANT/LOBBYIST	ADDRESS
N/A	


**\*\*\* It is important to note that while Auburn University will not validate the information any supplier chooses to disclose, it is our responsibility to ensure all information required to**

**make this form “complete” is provided. Should any information be missing, PBS will ask that the department submitting the disclosure statement request the missing information from the supplier. \*\*\***

3) A representative from the supplier and a notary MUST sign and date the disclosure statement prior to submission by the department. Along with the signature, a Notary Seal and a Notary Expiration date must be present on the form. Should the notary use a crimper for their seal, the department must ensure that the seal is visible when scanning and uploading into any Self-Service system.

**(The easiest way to ensure the crimper stamp is visible is to lightly shade it with a pencil. This will allow for visibility once it is scanned.)**

*By signing below, I certify under oath and penalty of perjury that all statements on or attached to this form are true and correct to the best of my knowledge. I further understand that a civil penalty of ten percent (10%) of the amount of the transaction, not to exceed \$10,000.00, is applied for knowingly providing incorrect or misleading information.*

Signature		Date	
Notary's Signature		Date	
		Date Notary Expires	

*Act 2001-955 requires the disclosure statement to be completed and filed with all proposals, bids, contracts, or grant proposals to the State of Alabama in excess of \$5,000.*