2010-2011
AUBURN UNIVERSITY BOARD OF TRUSTEES
CODE OF ETHICS COMPLIANCE DOCUMENTS
I affirm that I have reviewed the Auburn University Code of Ethics and that I will fully comply with its requirements. I further certify that:

1. I have _, or do not have (check one) a business or professional relationship with any other Board member or any entity affiliated with any other Board member which constitutes a violation of any provision of the Code of Ethics. (If you do not have any such relationships skip #2 and answer #3.)

2. I have business or professional relationships with ____ other Board member(s). I certify that all such relationships are on terms no more favorable to me than the terms that are usual and customary in the ordinary course of comparable business or professional relationships between such other Board members and persons similarly situated to me who are not members of the Board of Trustees. Should any effort occur to influence the independent judgment on my part required in paragraph 1 of the Code of Ethics resolution, I will sever any and all business relationships with any member of the Board associated with such effort, or I will resign from the Board.

   Name(s) and Nature of Relationship:

   ____________________________________________
   ____________________________________________
   ____________________________________________

3. I further certify, that I have _, or do not have ___, (check one) contractual, employment, personal or familial financial interest in Auburn University.

   If so, please explain: ____________________________________________
   ____________________________________________

The information supplied above conforms to the requirements of Ala. Code (1975), §13A-10-102. "A person commits the crime of perjury in the second degree when he swears with intent to mislead a public servant in the performance of his duty and his false statement is material to the action, proceeding or matter involved."

______________________________
Signed: 
Member, Auburn University, Board of Trustees

STATE OF ALABAMA )

Lee COUNTY )

Before me, the undersigned, a Notary Public in and for said State and County, personally appeared John C. Blackwell, whose name is signed to the foregoing instrument and who is known to me and acknowledged before me that he/she has executed said instrument on the day the same bears date.

Signed and sealed on this the 17th day of June, 2011.

______________________________
Kale C. Hill
Notary Public, State of Alabama

My Commission Expires: 7/29/2013
I affirm that I have reviewed the Auburn University Code of Ethics and that I will fully comply with its requirements. I further certify that:

1. I have ☐, or do not have ☐ (check one) a business or professional relationship with any other Board member or any entity affiliated with any other Board member which constitutes a violation of any provision of the Code of Ethics.
   (If you do not have any such relationships skip #2 and answer #3.)

2. I have business or professional relationships with ☐ other Board member(s). I certify that all such relationships are on terms no more favorable to me than the terms that are usual and customary in the ordinary course of comparable business or professional relationships between such other Board members and persons similarly situated to me who are not members of the Board of Trustees. Should any effort occur to influence the independent judgment on my part required in paragraph 1 of the Code of Ethics resolution, I will sever any and all business relationships with any member of the Board associated with such effort, or I will resign from the Board.

   Name(s) and Nature of Relationship:
   __________________________________________________________
   __________________________________________________________
   __________________________________________________________

3. I further certify, that I have ☐, or do not have ☐ (check one) contractual, employment, personal or familial financial interest in Auburn University.
   If so, please explain:
   __________________________________________________________________________
   __________________________________________________________________________
   __________________________________________________________________________

The information supplied above conforms to the requirements of Ala. Code (1975), § 13A-10-102. "A person commits the crime of perjury in the second degree when he swears with intent to mislead a public servant in the performance of his duty and his false statement is material to the action, proceeding or matter involved."

Signed: ____________________________________________
Member
Auburn University, Board of Trustees

STATE OF ALABAMA

Lee COUNTY

Before me, the undersigned, a Notary Public in and for said State and County, personally appeared Dwight L. Carlisle, whose name is signed to the foregoing instrument and who is known to me and acknowledged before me that he/she has executed said instrument on the day the same bears date.

Signed and sealed on this the 17th day of June, 2011.

(Seal)

Dwight L. Carlisle
Notary Public, State of Alabama

My Commission Expires: 7-19-2013
I affirm that I have reviewed the Auburn University Code of Ethics and that I will fully comply with its requirements. I further certify that:

1. I have □ or do not have □ (check one) a business or professional relationship with any other Board member or any entity affiliated with any other Board member which constitutes a violation of any provision of the Code of Ethics. (If you do not have any such relationships skip #2 and answer #3.)

2. I have business or professional relationships with ______ other Board member(s). I certify that all such relationships are on terms no more favorable to me than the terms that are usual and customary in the ordinary course of comparable business or professional relationships between such other Board members and persons similarly situated to me who are not members of the Board of Trustees. Should any effort occur to influence the independent judgment on my part required in paragraph 1 of the Code of Ethics resolution, I will sever any and all business relationships with any member of the Board associated with such effort, or I will resign from the Board.

Name(s) and Nature of Relationship:

________________________________________________________________________

________________________________________________________________________

________________________________________________________________________

____________________

3. I further certify that I have □ or do not have □ (check one) contractual, employment, personal or familial financial interest in Auburn University.

If so, please explain:________________________________________________________________________

________________________________________________________________________

The information supplied above conforms to the requirements of Ala. Code (1975 § 13A-10-102. "A person commits the crime of perjury in the second degree when he swears with intent to mislead a public servant in the performance of his duty and his false statement is material to the action, proceeding or matter involved."

Signed: __________________________

Member

Auburn University, Board of Trustees

STATE OF ALABAMA )

Jefferson COUNTY )

Before me, the undersigned, a Notary Public in and for said State and County, personally appeared ______ whose name is signed to the foregoing instrument and who is known to me and acknowledged before me that he/she has executed said instrument on the day the same bears date.

Signed and sealed on this the 9th day of June 2011.

__________________________

(Seal)

Notary Public, State of Alabama

My Commission Expires: 2013
I affirm that I have reviewed the Auburn University Code of Ethics and that I will fully comply with its requirements. I further certify that:

1. I have □, or do not have □ (check one) a business or professional relationship with any other Board member or any entity affiliated with any other Board member which constitutes a violation of any provision of the Code of Ethics. (If you do not have any such relationships skip #2 and answer #3.)

2. I have business or professional relationships with □ other Board member(s). I certify that all such relationships are on terms no more favorable to me than the terms that are usual and customary in the ordinary course of comparable business or professional relationships between such other Board members and persons similarly situated to me who are not members of the Board of Trustees. Should any effort occur to influence the independent judgment on my part required in paragraph 1 of the Code of Ethics resolution, I will sever any and all business relationships with any member of the Board associated with such effort, or I will resign from the Board.

Name(s) and Nature of Relationship:

________________________________________________________________________

________________________________________________________________________

________________________________________________________________________

3. I further certify, that I have □, or do not have □ (check one) contractual, employment, personal or familial financial interest in Auburn University.

If so, please explain: __________________________________________________________________________

________________________________________________________________________

________________________________________________________________________

The information supplied above conforms to the requirements of Ala. Code (1975), § 13A-10-102. “A person commits the crime of perjury in the second degree when he swears with intent to mislead a public servant in the performance of his duty and his false statement is material to the action, proceeding or matter involved.”

Signed: ____________________________

Member

Auburn University, Board of Trustees

STATE OF )

San Mateo COUNTY)

Before me, the undersigned, a Notary Public in and for said State and County, personally appeared Samuel L. Ginn __________, whose name is signed to the foregoing instrument and who is known to me and acknowledged before me that he/she has executed said instrument on the day the same bears date.

Signed and sealed on this the 31 day of May, 2011.

______________________________

Notary Public, State of California

My Commission Expires: March 8, 2014
I affirm that I have reviewed the Auburn University Code of Ethics and that I will fully comply with its requirements. I further certify that:

1. I have __, or do not have __ (check one) a business or professional relationship with any other Board member or any entity affiliated with any other Board member which constitutes a violation of any provision of the Code of Ethics. (If you do not have any such relationships skip #2 and answer #3.)

2. I have business or professional relationships with ______ other Board member(s). I certify that all such relationships are on terms no more favorable to me than the terms that are usual and customary in the ordinary course of comparable business or professional relationships between such other Board members and persons similarly situated to me who are not members of the Board of Trustees. Should any effort occur to influence the independent judgment on my part required in paragraph 1 of the Code of Ethics resolution, I will sever any and all business relationships with any member of the Board associated with such effort, or I will resign from the Board.

Name(s) and Nature of Relationship:

________________________________________

________________________________________

________________________________________

3. I further certify, that I have __, or do not have __ (check one) contractual, employment, personal or familial financial interest in Auburn University.

If so, please explain:

________________________________________

________________________________________

The information supplied above conforms to the requirements of Ala. Code (1975), § 13A-10-102. "A person commits the crime of perjury in the second degree when he swears with intent to mislead a public servant in the performance of his duty and his false statement is material to the action, proceeding or matter involved."

Signed and sealed on this the __ day of May, 2011.

Notary Public, State of Alabama

My Commission Expires: 6/6/2012
I affirm that I have reviewed the Auburn University Code of Ethics and that I will fully comply with its requirements. I further certify that:

1. I have __, or do not have __, (check one) a business or professional relationship with any other Board member or any entity affiliated with any other Board member which constitutes a violation of any provision of the Code of Ethics. (If you do not have any such relationships skip #2 and answer #3.)

2. I have business or professional relationships with __ other Board member(s). I certify that all such relationships are on terms no more favorable to me than the terms that are usual and customary in the ordinary course of comparable business or professional relationships between such other Board members and persons similarly situated to me who are not members of the Board of Trustees. Should any effort occur to influence the independent judgment on my part required in paragraph 1 of the Code of Ethics resolution, I will sever any and all business relationships with any member of the Board associated with such effort, or I will resign from the Board.

Name(s) and Nature of Relationship:

________________________________________________________________________

________________________________________________________________________

3. I further certify, that I have __, or do not have __, (check one) contractual, employment, personal or familial financial interest in Auburn University.

If so, please explain:

________________________________________________________________________

________________________________________________________________________

The information supplied above conforms to the requirements of Ala. Code (1975), § 13A-10-102. "A person commits the crime of perjury in the second degree when he swears with intent to mislead a public servant in the performance of his duty and his false statement is material to the action, proceeding or matter involved."

Signed: ____________________________
Member
Auburn University, Board of Trustees

STATE OF ALABAMA )

Lee COUNTY)

Before me, the undersigned, a Notary Public in and for said State and County, personally appeared Robert E. Lowder, whose name is signed to the foregoing instrument and who is known to me and acknowledged before me that he/she has executed said instrument on the day the same bears date.

Signed and sealed on this the 15th day of June 2011.

(SEAL)

Notary Public, State of Alabama

My Commission Expires: 1/29/2013
AUBURN UNIVERSITY BOARD OF TRUSTEES  
CODE OF ETHICS COMPLIANCE DOCUMENT  
2010-2011

I affirm that I have reviewed the Auburn University Code of Ethics and that I will fully comply with its requirements. I further certify that:

1. I have __, or do not have (check one) a business or professional relationship with any other Board member or any entity affiliated with any other Board member which constitutes a violation of any provision of the Code of Ethics. (If you do not have any such relationships skip #2 and answer #3.)

2. I have business or professional relationships with ______ other Board member(s). I certify that all such relationships are on terms no more favorable to me than the terms that are usual and customary in the ordinary course of comparable business or professional relationships between such other Board members and persons similarly situated to me who are not members of the Board of Trustees. Should any effort occur to influence the independent judgment on my part required in paragraph 1 of the Code of Ethics resolution. I will sever any and all business relationships with any member of the Board associated with such effort, or I will resign from the Board.

Name(s) and Nature of Relationship:


3. I further certify, that I have __, or do not have (check one) contractual, employment, personal or familial financial interest in Auburn University.

If so, please explain:


The information supplied above conforms to the requirements of Ala. Code (1975), § 13A-10-102. "A person commits the crime of perjury in the second degree when he swears with intent to mislead a public servant in the performance of his duty and his false statement is material to the action, proceeding or matter involved."

Signed:  
Member  
Auburn University, Board of Trustees

(Seal)

My Commission Expires:

Before me, the undersigned, a Notary Public in and for said State and County, personally appeared ________________, whose name is signed to the foregoing instrument and who is known to me and acknowledged before me that he/she has executed said instrument on the day the same bears date.

Signed and sealed on this the ___ day of __, 2011.

Notary Public, State of Alabama

My Commission Expires:

(SEAL)
I affirm that I have reviewed the Auburn University Code of Ethics and that I will fully comply with its requirements. I further certify that:

1. I have ____ , or do not have ____ , (check one) a business or professional relationship with any other Board member or any entity affiliated with any other Board member which constitutes a violation of any provision of the Code of Ethics. (If you do not have any such relationships skip #2 and answer #3.)
   See Comment Page A

2. I have business or professional relationships with ______ other Board member(s). I certify that all such relationships are on terms no more favorable to me than the terms that are usual and customary in the ordinary course of comparable business or professional relationships between such other Board members and persons similarly situated to me who are not members of the Board of Trustees. Should any effort occur to influence the independent judgment on my part required in paragraph 1 of the Code of Ethics resolution, I will sever any and all business relationships with any member of the Board associated with such effort, or I will resign from the Board.

Name(s) and Nature of Relationship:
   ________________
   ________________
   ________________

   See Comment Page A

3. I further certify, that I have ____ , or do not have ____ , (check one) contractual, employment, personal or familial financial interest in Auburn University.

If so, please explain: ____________________________
   ________________
   ________________
   ________________

   See Comment Page A

The information supplied above conforms to the requirements of Ala. Code (1975), § 13A-10-102. "A person commits the crime of perjury in the second degree when he swears with intent to mislead a public servant in the performance of his duty and his false statement is material to the action, proceeding or matter involved."

Signed: ____________________________
   Charles D. McLemore
   Member, Auburn University, Board of Trustees

STATE OF ALABAMA
   Jefferson County

Before me, the undersigned, a Notary Public in and for said State and County, personally appeared Charles D. McLemore, whose name is signed to the foregoing instrument and who is known to me and acknowledged before me that he/she has executed said instrument on the day the same bears date.

Signed and sealed on this the 9 day of June, 2011.

Notary Public, State of Alabama

My Commission Expires: 6-24-14
I have no personal business or professional relationships with any board members. However, as CEO of Alabama Power, I have 1.4 million customers throughout the State to whom we supply electricity and other related services. We may serve all board members or few members. Those that we serve are served at terms no more favorable than non board members. As a statewide utility we also purchase goods and services from thousands of businesses. I may purchase goods and services from all board members or no board members. If any purchases of goods and services are made from members of this board, they are at terms no more favorable than non board members and are in the ordinary course of business for an electric utility. I have no personal business relationships with any board member. I am not aware of specific business relationships we may have with board members or their organizations.

I serve as Chairman of the Board of Alabama Power Company Foundation (APCF). The APCF has an investment committee to invest the corpus. I do not serve on the investment committee. The investment committee has funds invested with Harbert Venture Capital Partners of which Mr. Harbert is affiliated.

In regards to Auburn University, Alabama Power Company provides electric service to the University as a normal course of events. I have no contractual, employment, personal or familial interest at Auburn other than as described above. It should be noted that I serve on several private, public and charitable boards that could from time to time have some interaction or other arrangement with Auburn University. Those organizations are listed below.

Alabama Power Company – President, CEO, Board of Directors
Alabama Power Foundation – Board of Directors, Chairman
Alabama Property Company – Board of Directors, President
Applied Research Center of Alabama (ARCA) – Board of Directors
Birmingham Museum of Art – Board of Directors
Business Council of Alabama – Board of Directors
Children First Foundation – Board of Trustees
Children’s Hospital - Board of Trustees
Economic Development Partnership of Alabama – Board of Directors, Chairman
Mercedes-Benz U.S. International, Inc. – Board of Directors
Protective Life Corporation – Board of Directors
Regions Financial Corporation – Board of Directors
Southern Communications Services, Inc. – Board of Directors
Southern Company Services, Inc. – Board of Directors
Southeastern Electric Exchange – Board of Directors
Southern Electric Generation Company – Board of Directors, President
Southern Nuclear Operation Company, Inc. – Board of Directors
Southern Research Institute – Board of Directors
State of Alabama Archives and History Foundation – Board of Directors
State of Alabama Engineering Hall of Fame – Board of Directors
United Way of Central Alabama – Board of Directors
University of Alabama Health Services Foundation – Board of Directors

It should also be noted that Trustee Newton’s son Will Newton is an employee of Southern Company Services, a subsidiary of Southern Company.
I affirm that I have reviewed the Auburn University Code of Ethics and that I will fully comply with its requirements. I further certify that:

1. I have _X_ or do not have _ (check one) a business or professional relationship with any other Board member or any entity affiliated with any other Board member which constitutes a violation of any provision of the Code of Ethics. (If you do not have any such relationships skip #2 and answer #3.)

2. I have business or professional relationships with _X_ other Board member(s). I certify that all such relationships are on terms no more favorable to me than the terms that are usual and customary in the ordinary course of comparable business or professional relationships between such other Board members and persons similarly situated to me who are not members of the Board of Trustees. Should any effort occur to influence the independent judgment on my part required in paragraph 1 of the Code of Ethics resolution, I will sever any and all business relationships with any member of the Board associated with such effort, or I will resign from the Board.

Name(s) and Nature of Relationship:

My son, William Newton, is employed by the Southern Company.

3. I further certify, that I have _X_, or do not have _ (check one) contractual, employment, personal or familial financial interest in Auburn University.

If so, please explain:

My son, John Newton, is employed by Auburn University. (IT)

The information supplied above conforms to the requirements of Ala. Code (1975), § 13A-10-102. "A person commits the crime of perjury in the second degree when he swears with intent to mislead a public servant in the performance of his duty and his false statement is material to the action, proceeding or matter involved."

Signed: [Signature]
Member
Auburn University, Board of Trustees

STATE OF ALABAMA

Before me, the undersigned, a Notary Public in and for said State and County, personally appeared [Signature], whose name is signed to the foregoing instrument and who is known to me and acknowledged before me that he/she has executed said instrument on the day the same bears date.

Signed and sealed on this the _13th_ day of _May_ 2011

[Seal]

Notary Public, State of Alabama

My Commission Expires: _5/3/2015_
I affirm that I have reviewed the Auburn University Code of Ethics and that I will fully comply with its requirements. I further certify that:

1. I have ___, or do not have ___ X. (check one) a business or professional relationship with any other Board member or any entity affiliated with any other Board member which constitutes a violation of any provision of the Code of Ethics. (If you do not have any such relationships skip #2 and answer #3.)

2. I have business or professional relationships with ______ other Board member(s). I certify that all such relationships are on terms no more favorable to me than the terms that are usual and customary in the ordinary course of comparable business or professional relationships between such other Board members and persons similarly situated to me who are not members of the Board of Trustees. Should any effort occur to influence the independent judgment on my part required in paragraph 1 of the Code of Ethics resolution, I will sever any and all business relationships with any member of the Board associated with such effort, or I will resign from the Board.

Name(s) and Nature of Relationship:

________________________________________________________________________

________________________________________________________________________

________________________________________________________________________

3. I further certify, that I have ___, or do not have ___ X. (check one) contractual, employment, personal or familial financial interest in Auburn University.

If so, please explain: __________________________________________________________________________

________________________________________________________________________________________

________________________________________________________________________________________

________________________________________________________________________________________

The information supplied above conforms to the requirements of Ala. Code (1975), § 13A-10-102. "A person commits the crime of perjury in the second degree when he swears with intent to mislead a public servant in the performance of his duty and his false statement is material to the action, proceeding or matter involved."

Signed: ________________________________________________________________________________

Member
Auburn University, Board of Trustees

STATE OF ALABAMA ____________________________

)                                                )

Henry ______ COUNTY)                                           )

Before me, the undersigned, a Notary Public in and for said State and County, personally appeared James W. Rane ____________, whose name is signed to the foregoing instrument and who is known to me and acknowledged before me that he/she has executed said instrument on the day the same bears date.

Signed and sealed on this the 12th day of ______ May ______, 2011

________________________________________________________________________________________

Notary Public, State of Alabama

My Commission Expires: ____________________________

(Seal)

NOTARY PUBLIC STATE OF ALABAMA AT LAW
MY COMMISSION EXPIRES: Apr 15, 2013
BONDED THRU NOTARY PUBLIC UNDERWRITE
I affirm that I have reviewed the Auburn University Code of Ethics and that I will fully comply with its requirements. I further certify that:

1. I have ☑, or do not have ☐ (check one) a business or professional relationship with any other Board member or any entity affiliated with any other Board member which constitutes a violation of any provision of the Code of Ethics. (If you do not have any such relationships skip #2 and answer #3.)

2. I have business or professional relationships with ☐ other Board member(s). I certify that all such relationships are on terms no more favorable to me than the terms that are usual and customary in the ordinary course of comparable business or professional relationships between such other Board members and persons similarly situated to me who are not members of the Board of Trustees. Should any effort occur to influence the independent judgment on my part required in paragraph 1 of the Code of Ethics resolution, I will sever any and all business relationships with any member of the Board associated with such effort, or I will resign from the Board.

Name(s) and Nature of Relationship:

__________________________
__________________________

__________________________
__________________________

3. I further certify, that I have ☑, or do not have ☐ (check one) contractual, employment, personal or familial financial interest in Auburn University.

If so, please explain: My daughter, Louisa Thompson, recrui   ts students for Auburn. She is employed in the Admissions Office, Main Campus.

The information supplied above conforms to the requirements of Ala. Code (1975), § 13A-10-102. “A person commits the crime of perjury in the second degree when he swears with intent to mislead a public servant in the performance of his duty and his false statement is material to the action, proceeding or matter involved.”

Signed: Virginia Thompson
Member
Auburn University, Board of Trustees

STATE OF ALABAMA )
LEG ______ COUNTY )

Before me, the undersigned, a Notary Public in and for said State and County, personally appeared Virginia Thompson, whose name is signed to the foregoing instrument and who is known to me and acknowledged before me that he/she has executed said instrument on the day the same bears date.

Signed and sealed on this the 10th day of May, 2011

(SEAL)

[Signature]
Notary Public, State of Alabama

My Commission Expires: Jan. 20, 2014