2011-2012
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

Montgomery (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 __________ day of ________, 2012.

(Seal)

Notary Public, State of Alabama

My Commission Expires 8/6/13
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: ____________________________

[Signature]

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 [Name], 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 [ ] , 2012.

[Signature]

Notary Public, State of Alabama
AUBURN UNIVERSITY BOARD OF TRUSTEES
CODE OF ETHICS COMPLIANCE DOCUMENT
2011-2012

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 XX (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 XX (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:

Member

Auburn University, Board of Trustees

STATE OF ALABAMA )

Clerk (COUNTY)

Before me, the undersigned, a Notary Public in and for said State and County, personally appeared Robert W. Dumas, 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 24 day of May, 2012

(SEAL)

Notary Public, State of Alabama

My Commission Expires

NOTARY PUBLIC STATE OF ALABAMA AT LARGE
COMMISSION EXPIRES 05-03-2021
BONDED THRU NOTARY PUBLIC UNLESS NOTED
I have no personal business or professional relationships with any board members. As President/CEO of AuburnBank, a state banking corporation, my bank may serve as a depository or lending institution to a board member or an affiliate but any such relationships are on terms no more favorable 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.

Regarding Auburn University, AuburnBank may provide banking services to the University in the normal course of business. I have no contractual, employment, personal or familial interest in Auburn University other than as described above. Please note that I serve on several public, private and charitable boards as listed below:

AuburnBank – Board of Directors
Auburn National Bancorporation, Inc. – Board of Directors
Alabama Bankers Association – Chairman, Board of Directors
East Alabama Medical Center – Board of Directors
Auburn Business Incubator Advisory Committee Member
Alabama Sports Hall of Fame Selection Committee Member
AU Golf Letterman Club Member

My daughter, Kristin Dumas Phillips, is employed by Auburn University (Tigers Unlimited) as Assistant Director of Donor Services & Annual Giving.
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 XX__ (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 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:

N/A

3. I further certify, that I have ____ or do not have XX__ (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: Samuel L. Ginn
Member
Auburn University Board of Trustees

STATE OF ALABAMA) California
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 18th day of April 2012.

Notary Public, State of Alabama
My Commission Expires March 8, 2014
May 4, 2012

Mr. Grant Davis
Secretary to the Board of Trustees
Auburn University
105 Samford Hall
Auburn, AL 36849

Dear Grant:

Enclosed is Raymond Harbert’s completed 2011-2012 Ethics Compliance Form along with a copy of Raymond’s previously submitted recusal letter regarding Rock Apartment Advisors.

Please contact me if you need any other information.

Sincerely,

Carole B. Schafer
Assistant to Raymond J. Harbert

Enclosures
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:

__________________________

See attached letter

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 Raymond J. Harbert, 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 26th day of April, 2012

__________________________

Notary Public, State of Alabama

My Commission Expires 6/6/2012

(SEAL)
Raymond J. Harbert  
Chairman & Chief Executive Officer  

February 1, 2012  

Mr. Grant Davis  
Secretary to the Board of Trustees  
Auburn University  
105 Samford Hall  
Auburn, Alabama 36849  

RE: Recusal from Matters Involving Rock Apartment Advisors and Auburn University  

Dear Mr. Davis:  

I am the Chairman and CEO of Harbert Management Corporation (HMC) in addition to serving as a Trustee of Auburn University. HMC owns Rock Apartment Advisors (RAA) which is a Birmingham-based commercial real estate firm that focuses exclusively on apartment advisory services. RAA was recently contacted by Auburn University personnel involved with student housing to discuss a proposal under which RAA would advise the University in attracting and negotiating with apartment owners to fill a need for graduate student housing options. I was not involved in Auburn University's determination that it needed outside assistance with this project or its decision to contact RAA, nor did I participate in any communications between RAA and Auburn University. Auburn University and RAA have now entered into an agreement for RAA to provide these services.  

In order to confirm that this agreement is permissible in light of my position on the Board, I sought and received (in coordination with the University's General Counsel) confirmation from the Ethics Commission that this agreement is permitted and that we were taking the appropriate steps to ensure that it was handled properly. In accordance with that confirmation, this letter is to inform you that I will recuse myself from any vote or discussion that comes before the Board involving RAA or the graduate student housing master lease on which RAA is advising Auburn University. I ask for your assistance in helping me ensure that I do not inadvertently vote or otherwise participate in Board discussions on these matters. I also should not be provided with any information involving RAA or this lease in the course of my service on the Board. To the extent that matters involving RAA or this lease are to come before the Board, please notify other Trustees of my recusal so that they will be aware that I cannot communicate with them on these matters.  

Thank you for your assistance. Please let me know if you have any questions.  

Sincerely,  

Raymond J. Harbert  

cc: Dr. Jay Gogue, Auburn University President  
Mr. Lee Armstrong, Auburn University General Counsel
This will serve as receipt of your letter dated February 1, 2012 regarding Recusal from Matters Involving Rock Apartment Advisors and Auburn University. We will help to ensure that you do not inadvertently vote or otherwise participate in Board discussions on those matters.

Grant / Mr. Armstrong:
Please see attached letter from Raymond Harbert. Original and copies will be delivered by Raymond when he arrives in Auburn later today.

Thank you.

Carole
Grant Davis
Secretary to the Board of Trustees
105 Samford Hall
Auburn University, Alabama 36849

From: Schafer, Carole [mailto:CSchafer@harbert.net]
Sent: Thursday, February 02, 2012 10:30 AM
To: Grant Davis; Lee Armstrong
Subject: Attached Letter

Grant / Mr. Armstrong:
Please see attached letter from Raymond Harbert.
Original and copies will be delivered by Raymond when he arrives in Auburn later today.

Thank you.

Carole
AUBURN UNIVERSITY BOARD OF TRUSTEES
CODE OF ETHICS COMPLIANCE DOCUMENT
2011-2012

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 #3 and answer #2.)

2. I have business or professional relationships with ____ other Board member(s) and 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 be made 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.

Also 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 latter 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 Elizabeth Huntley, 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 5th day of June 2012

(SEAL)

Jesse Hays Taylor, Notary Public, State of Alabama

My Commission Expires 01/03/13

STATE OF ALABAMA AT LARGE
My Commission Expires Feb 22, 2013

Notary Public Underwriters
I have no personal business or professional relationships with any board members. However, I am an associate at the law firm Lightfoot, Franklin & White, L.L.C. My law firm may have or may continue to provide legal services to a board member or an affiliate but any such relationships are on terms no more favorable 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.

In regards to Auburn University, Lightfoot, Franklin & White, L.L.C. may provide legal services to the University in the normal course of business. I have no contractual, employment, personal or familial interest in Auburn University other than as described above. Please note that I serve on the following charitable boards of directors:

Children’s First Foundation
Children’s Village
Alabama School Readiness Advisory Board of Directors
Alabama Governor’s Commission on Affordable Homeowner’s Insurance
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: [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 [Name], 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 18th day of April, 2012.

[Signature]
Notary Public, State of Alabama

My Commission Expires: JUNE 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:

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: [Signature]  
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 [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 21 day of May, 20__

(SEAL)  
Notary Public, State of Alabama

My Commission Expires: [Expiration Date]
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
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.

It should also be noted that Trustee Sanford serves on the Board of Directors of Alabama Power Company which I serve as President and CEO.
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 NO 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:

It should be noted that my son, Will Newton

is an employee of Southern Company Services

of which Trustee Charles McCrary is associated.

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 son works in the IT department of the

College of Engineering.

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: Sarah B. Newton
Member
Auburn University, Board of Trustees

STATE OF ALABAMA

Fayette County

Before me, the undersigned, a Notary Public in and for said State and County, personally appeared Sarah B. Newton, 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 18th day of April, 2012

Notary Public, State of Alabama

My Commission Expires 5/3/15
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."

Signature:
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 ______ day of __________, 20_____.

Notary Public, State of Alabama

AUBURN UNIVERSITY BOARD OF TRUSTEES  
CODE OF ETHICS COMPLIANCE DOCUMENT  
2011-2012

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 misleading 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 April 20_, 2012

(SEAL)

Notary Public, State of Alabama
My Commission Expires

NOTARY PUBLIC STATE OF ALABAMA AT LARGE
MY COMMISSION EXPIRES: Apr 15, 2013
BONDED THRU NOTARY PUBLIC UNDERWRITERS
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 wife, Cindy Schlie, is a member of the Auburn Alumni Assn. Board of Directors.

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 NAME]  
Member  
Auburn University, Board of Trustees

STATE OF ALABAMA  
COUNTY)

Before me, the undersigned, a Notary Public in and for said State and County, personally appeared [MEMBER NAME], 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] day of [MONTH], 2012

[SEAL]
Notary Public. State of Alabama

My Commission Expires [DATE]
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

) / 7

Mobile ( 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 ______ day of May, 2012

(SEAL)

Notary Public, State of Alabama

My Commission Expires 01/26/13
Alabama Ethics Commission

CERTIFICATE OF COMPLETION
presented to

Ben Tom Edwards Roberts
Auburn University
In recognition of

Alabama Ethics Law Training
Tuesday, May 01, 2012

By affixing my signature below, I acknowledge that I have received training regarding the Alabama Ethics Law. I understand that it is my responsibility to become familiar with the Ethics Law and to conduct myself accordingly, and that, if at any time my actions indicate a violation of said law, appropriate action will be taken.

Signature:

James L. Sumner, Jr.
Director
Alabama Ethics Commission
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 __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 __1__ 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:

Board member of Alabama Power Company along with Trustee

Charles McCrary, who is also President and CEO of the Company

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:

Auburn University, Board of Trustees

STATE OF ALABAMA  

Auburn (COUNTY)

Before me, the undersigned, a Notary Public in and for said State and County, personally appeared James H. Sanford, 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 May, 2012

Notary Public, State of Alabama

My Commission Expires: 10/7/2015