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)

2. I have business or professional relationships with ___ other Board member(a). 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 ___ (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

Madison County

Before me, the undersigned, a Notary Public in and for said State and County, personally appeared Michael A. DeMallie, 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 17 day of June 2013

(SEAL)

Dickie E. Kerzchler
Notary Public, State of Alabama

MY COMMISSION EXPIRES 12-12-2015
I have no employment, personal or familial financial interest in Auburn University. My company, Dynetics, Inc., does subcontract some of our high technology work to Auburn University when Auburn has a particular expertise we need on a project. The terms and conditions for Auburn University are no more favorable than are usual and customary in our industry. This contract work results in extramural research funding to Auburn University. The contracts are reviewed by our legal and contracting groups, signed by our Vice President of Contracts and are independently audited by the Defense Contract Auditing Agency (DCAA).
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.)

   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:  Robert W. Dumas
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 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 1 day of May, 2013

Notary Public, State of Alabama
My Commission Expires: 10/26/2016
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 – Board of Directors  
East Alabama Medical Center – Board of Directors  
Auburn Research & Tech Foundation – 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 Premium Seating and Hospitality.
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 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:

Note: Charlie Miller, who serves on Auburn’s Foundation Board, is employed by my firm, Harbert Management Corporation.

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 __________________ [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 5th day of June 2013

(SEAL)

Carole B. Scheler
Notary Public, State of Alabama

My Commission Expires 6/15/2016
June 5, 2013

Mr. Grant Davis
Secretary to the Board of Trustees
Auburn University
105 Samford Hall
Auburn, AL 36849-5114

Dear Grant:

Enclosed is Raymond Harbert’s completed “Code of Ethics” compliance form. Please let me know if you need anything else.

Sincerely,

Carole B. Schafer
Assistant to Raymond J. Harbert

Enclosure
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
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 H. 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 30th day of May, 2013.

(SEAL)

Amy Ford Hersey
Notary Public, State of Alabama

My Commission Expires 2/27/16
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
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 of the Board of Trustees, I will severed any and all business relationships with any member of the Board of Trustees if such effort is successful.

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) § 10-102. "A person commits the crime of perjury in the second degree when he knowingly or 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

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, 2013

(SEAL)

Notary Public, State of Alabama

My Commission Expires April 4, 2019
Sherri Williams

From: Grant Davis  
Sent: Wednesday, July 10, 2013 10:08 AM  
To: Lanier, Gaines  
Cc: Jimmy Rane; Bob Dumas; Lee Armstrong; Sherri Williams  
Subject: RE: 2012-2013 Code of Ethics Compliance Document for Auburn University Board of Trustees

Yes, we will get it attached -- Grant

Grant Davis  
Secretary to the Board of Trustees  
105 Samford Hall  
Auburn University, AL 36849-5114  
(334) 844-4866 Fax: (334) 844-4803  
Cell: 334-744-1030

From: Lanier, Gaines [mailto:glanier@jsmithlanier.com]  
Sent: Wednesday, July 10, 2013 9:58 AM  
To: Grant Davis  
Subject: 2012-2013 Code of Ethics Compliance Document for Auburn University Board of Trustees

Mr. Davis will you please attached this to my previous completed compliance document as an addendum.

Addendum to question #1 for D. Gaines Lanier

As Chairman and CEO of J. Smith Lanier & Co., my company may serves as the insurance brokerage firm 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.

This message has been scanned for malware by Websense. www.websense.com
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: ____________________________
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. McCrary, 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 14 day of may, 2013

Notary Public, State of Alabama

My Commission Expires 6.24.14
AUBURN UNIVERSITY BOARD OF TRUSTEES
CODE OF ETHICS COMPLIANCE DOCUMENT

COMMENT PAGE “A” FOR CHARLES D. McCRARY

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 am a member 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
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
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
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.

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 ________ 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 □ or do not have □ (check one) contractual, employment, personal or familial financial interest in Auburn University.

If so, please explain: my son, John Newton, works as IT System Administrator, Samuel O’Neal 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 ________________
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 6th day of May 2013

(Seal)

Notary Public, State of Alabama

My Commission Expires: 10/15/2014
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."

[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 May, 2013

(SEAL)

Notary Public, State of Alabama

My Commission Expires: 10/3/16
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. Kane 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 25th day of May, 2013

Notary Public, State of Alabama

My Commission Expires: Apr 12, 2017
BONDED THRU MERCHANTS BONDING COMPANY
I have no personal business or professional relationships with any board members. As President and CEO of Great Southern Wood Preserving, Incorporated, the nation’s leading producer of pressure treated pine lumber for residential, farm, commercial and industrial uses, we sell products to the general public through retail building material dealers and other distributors throughout a 27 state region encompassing the Southeast, Northeast and Midwestern United States. We may serve all board members or few members indirectly through their purchase of pressure treated wood products through these distribution channels. If any purchases of goods are made by members of this board, they are at terms no more favorable than non-board members.

Great Southern Wood Preserving, Incorporated, has a business relationship with J. Smith Lanier & Co., which provides our corporate insurance. Mr. Gaines Lanier is the Chairman and CEO of this company, but any such relations 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. My company also has a business relationship with Lightfoot, Franklin & White, LLC. Elizabeth H. Huntley is an associate with this law firm, which provides legal services to our company, 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, I have no contractual, employment, personal or familial interest in the University other than as described above. Please note that I am associated with several charitable organizations as listed below:

Abbeville United Methodist Church Board of Trustees
Henry County Historical Group Board of Directors
Alabama Archives & History Foundation Board of Directors
Auburn Letterman’s Association Honorary Member
Alabama State Bar Member
American Bar Association Member
National Cowboy & Western Heritage Museum Board of Directors
President of the Jimmy Rane Foundation
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

Not in ______ 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 8th day of May, 2013

Notary Public. State of Alabama

My Commission Expires 10/1/13
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. My wife, Cindy, is a member of the Auburn Alumni Assoc. 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: M. Clark Sahlie
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 M. Clark Sahlie, 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 30 day of April 2013

Jodi L. Chesnutt
Notary Public, State of Alabama

My Commission Expires: 10/24/15
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 __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 ___ 2 ____ 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 comments – Addendum A

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 )

                  )

Elmore 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 due.

Signed and sealed on this the ___21___ day of May, 2013

(SEAL)

Notary Public, State of Alabama

My Commission Expires: 4-7-2017
Addendum A

Comment One (re: Trustee McCrory):
Trustee Charles D. McCrary, Chairman, President and CEO of Alabama Power Company, and I are directors of Alabama Power Company.

Comment Two (re: Trustee Dumas):
Trustee Bob Dumas was nominated by Auburn University (AU) Board of Trustees President Pro Tem Raymond Harbert and subsequently elected as a director of the Auburn Research Technology Foundation (ARTF) which is a 501c3 organization established in 2004 to contractually facilitate and provide enhancements for Auburn University.

Prior to becoming an AU Trustee, I was elected as director of ARTF and have been annually elected and served as Chairperson since its inception.
AUBURN UNIVERSITY BOARD OF TRUSTEES
CODE OF ETHICS COMPLIANCE DOCUMENT
2012-2013

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: ______________________________________

In a fundraising capacity. (another)

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 TENNESSEE

____________________________________
Notary Public State of Alabama

My Commission Expires: November 5, 2014

STATE OF TENNESSEE

____________________________________
Notary Public State of Alabama

My Commission Expires: November 5, 2014

____________________________________
Notary Public State of Alabama

My Commission Expires: November 5, 2014

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 29th day of April, 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: Robert Bentley
Member
Auburn University, Board of Trustees

STATE OF ALABAMA

__________________________
Plekton County

Before me, the undersigned Notary Public in and for said State and County, personally appeared Robert Bentley, 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 1 day of May, 2013

(SEAL)

Piera L. Cleveland
Notary Public, State of Alabama

My Commission Expires: 1-8-2014