

2010-2011
AUBURN UNIVERSITY BOARD OF TRUSTEES
CODE OF ETHICS COMPLIANCE DOCUMENTS

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 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:

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 G. 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 17th day of June, 2011.

(SEAL)

Kale C. Hill
Notary Public, State of Alabama

My Commission Expires: 7-29-2013

AUBURN UNIVERSITY BOARD OF TRUSTEES
CODE OF ETHICS COMPLIANCE DOCUMENT

2009-2010
10 11

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 0 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: X
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)

Kale C. Hill
Notary Public, State of Alabama

My Commission Expires: 7-29-2013

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

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)

Cecilia Hall
Notary Public, State of Alabama

My Commission Expires: 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 0 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: _____

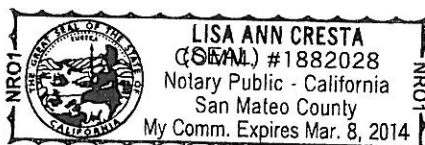
Member

Auburn University, Board of Trustees

STATE OF ~~ALABAMA~~) 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 31 day of May, 2011.



Notary Public, State of ~~Alabama~~ California

My Commission Expires: March 8, 2014

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 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)

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 18th day of May, 2011.

(SEAL)

Carole B. Schaefer
Notary Public, State of Alabama

My Commission Expires: 6/6/2012

**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

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)

Kara C. Hill

Notary Public, State of Alabama

My Commission Expires: 7/29/2013

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: D. Gaines Lanier
Member
Auburn University, Board of Trustees

Georgia
STATE OF ALABAMA)
Troup COUNTY)

Before me, the undersigned, a Notary Public in and for said State and County, personally appeared D. Gaines Lanier, 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)

Jessie W. Douding
Notary Public, State of Alabama

MY COMMISSION EXPIRES APRIL 8 2017
My Commission Expires: _____

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 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:

Charles D. McNay
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. McNay, 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.

(SEAL)

Wicki Yunisley
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 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

**AUBURN UNIVERSITY BOARD OF TRUSTEES
CODE OF ETHICS COMPLIANCE DOCUMENT
COMMENT PAGE "A" FOR CHARLES D. McCRARY
Page 2 of 2**

**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.

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 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 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: _____

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 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 13th day of May, 20 11.

(SEAL)

Mary Alice Taylor
Notary Public, State of Alabama

My Commission Expires: 5/3/2015

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 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

(SEAL)

Notary Public, State of Alabama

My Commission Expires: _____ NOTARY PUBLIC STATE OF ALABAMA AT LARI
MY COMMISSION EXPIRES: Apr 15, 2013
BONDED THRU NOTARY PUBLIC UNDERWRITE

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 0 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,
recruits 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)
LEE 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)

Brenda Clance
Notary Public, State of Alabama

My Commission Expires: Jan. 20, 2014