

2012-2013
AUBURN UNIVERSITY BOARD OF TRUSTEES
CODE OF ETHICS COMPLIANCE DOCUMENTS

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 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(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 XX, or do not have _____ (check one) contractual employment, personal or 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

Michael A. DeMauro

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. DeMauro 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. Kowalschick
Notary Public, State of Alabama

MY COMMISSION EXPIRES 12-12-2015
My Commission Expires _____

Auburn University Board of Trustees
Code of Ethics Compliance Document
2012-2013

Comment Page A for Michael A. DeMaioribus

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).

**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 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 X, 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 A/a. 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.



Marcia Lanier Otwell
Notary Public, State of Alabama

My Commission Expires: 10/26/2016

**Auburn University Board of Trustees
Code of Ethics Compliance Document
2012-2013**

**Comment Page A for Robert W. Dumas
Page 1 of 1**

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.

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 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: _____

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 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 5th day of June, 2013

(SEAL)

Carole B. Schaefer
Notary Public, State of Alabama

My Commission Expires 6/15/2016



HARBERT [®] MANAGEMENT CORPORATION

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

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.)

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: [Signature]
Member
Auburn University, Board of Trustees

STATE OF ALABAMA)
Jefferson COUNTY)

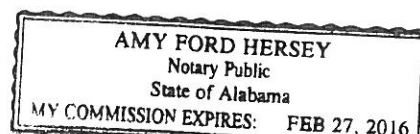
Before me, the undersigned, a Notary Public in and for said State and County, personally appeared Elizabeth H. Huntley, whose name is signed to the foregoing instrument and who is known to me and acknowledged before me that he/she has executed said instrument on the day the same bears date

Signed and sealed on this the 30th day of May, 20 13

(SEAL)

[Signature]
Notary Public, State of Alabama

My Commission Expires: 2/27/16



Auburn University Board of Trustees
Code of Ethics Compliance Document
2012-2013

Comment Page A for Elizabeth H. Huntley

Page 1 of 1

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

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: _____

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 Georgia)
~~ALABAMA~~)

Troup COUNTY)

Before me, the undersigned, a Notary Public in and for said State and County, personally appeared David Guines 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 7th day of May, 2013

(SEAL)

Janice W. Stauden
Notary Public, State of Alabama

My Commission Expires
April 4, 2016

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

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 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(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)
)
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

(SEAL)

Wichi Gunnisley
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

**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
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.

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:

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 DINN
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 6th day of May, 2013

(SEAL)

Jennifer Jawe
Notary Public, State of Alabama

My Commission Expires: 10/15/2014

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: _____

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 James R. Pratt, 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 16th day of May, 2013

(SEAL)

Deborah H. Boyd
Notary Public, State of Alabama

My Commission Expires: 10/3/16

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 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 [Signature]
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 20th day of May, 2013

(SEAL)

[Signature]
Notary Public, State of Alabama

My Commission Expires:

NOTARY PUBLIC STATE OF ALABAMA AT LARGE
MY COMMISSION EXPIRES: Apr 12, 2017
BONDED THRU MERCHANTS BONDING COMPANY

Auburn University Board of Trustees
Code of Ethics Compliance Document
2012-2013

James W. Rane

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

AUBURN UNIVERSITY BOARD OF TRUSTEES
CODE OF ETHICS COMPLIANCE DOCUMENT
2012-2013

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- 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)
Notary Public)
COUNTY)

Before me, the undersigned, a Notary Public in and for said State and County, personally appeared B.T. Rugg, 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

(SEAL)

Rebecca W. Katt
Notary Public, State of Alabama

My Commission Expires 10/2/13

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: My wife Cindy is a member
of the Auburn Alumni Asso. 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)

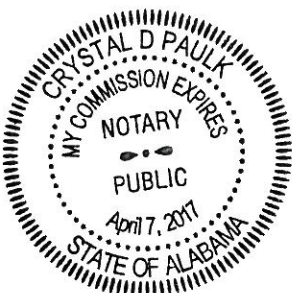
Before me, the undersigned, a Notary Public in and for said State and County, personally appeared M. Clark Sahlie, whose name is signed to the foregoing instrument and who is known to me and acknowledged before me that he/she has executed said instrument on the day the same bears date

Signed and sealed on this the 30 day of April, 2013

(SEAL)

Jodi K. Chesnut
Notary Public, State of Alabama

My Commission Expires: 10/26/15



Addendum A

Comment One (re: Trustee McCrary):

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 - 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: Jeremy Smith works for Auburn
in a fundraising capacity. (BASTNU)

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."

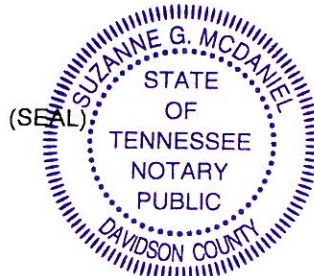
Signed:

[Signature]
Member
Auburn University, Board of Trustees

Tennessee
STATE OF ~~ALABAMA~~)
Williamson)
COUNTY

Before me, the undersigned, a Notary Public in and for said State and County, personally appeared Wayne T. Smith, 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



[Signature]
Notary Public, State of ~~Alabama~~ Tennessee

My Commission Expires: _____

**My Commission Expires:
November 5, 2014**

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 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: Robert Bentley
Member
Auburn University, Board of Trustees

STATE OF ALABAMA)
Mark Gomez)
COUNTY)

Before me, the undersigned, a 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)

Paula A. Chevalier
Notary Public, State of Alabama

My Commission Expires: 1-8-2014