

2013-2014  
AUBURN UNIVERSITY BOARD OF TRUSTEES  
CODE OF ETHICS COMPLIANCE DOCUMENTS

**AUBURN UNIVERSITY BOARD OF TRUSTEES  
CODE OF ETHICS COMPLIANCE DOCUMENT  
2013-2014**

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 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:

N/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 attachment 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. Demaiores 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 \_\_\_\_\_, 2014.

Dandra Grogg  
Notary Public, State of Alabama

(SEAL)

My Commission Expires: 06/06/2016

**Auburn University Board of Trustees  
Code of Ethics Compliance Document  
2013-2014**

**Attachment 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  
2013-2014**

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 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. SEE COMMENT PAGE A  
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: My daughter, Kristin Dumas Phillips, is  
employed by Auburn University (Tigers Unlimited) as  
Director of Premium Seating and Hospitality.

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 4 day of June, 2014.



Marcia Lanier Otwell

Notary Public, State of Alabama

My Commission Expires: 10-26-16



**Auburn University Board of Trustees  
Code of Ethics Compliance Document  
2013-2014**

**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  
Federal Reserve Bank of Atlanta’s Birmingham Branch –  
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**

**AUBURN UNIVERSITY BOARD OF TRUSTEES  
CODE OF ETHICS COMPLIANCE DOCUMENT  
2013-2014**

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 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

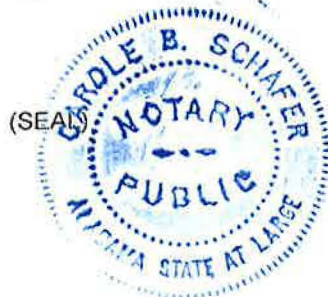
Auburn University, Board of Trustees

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 28<sup>th</sup> day of May, 2014.



Carole B. Schaefer

Notary Public, State of Alabama

My Commission Expires: June 15, 2016

**AUBURN UNIVERSITY BOARD OF TRUSTEES  
CODE OF ETHICS COMPLIANCE DOCUMENT  
2013-2014**

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.)

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.

See Comment Page A

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 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.

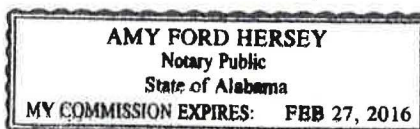
Signed and sealed on this the 9th day of June, 2014

(SEAL)

Amy Ford Hersey

Notary Public, State of Alabama

My Commission Expires: 2/27/16



Auburn University Board of Trustees  
Code of Ethics Compliance Document  
2013-2014  
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  
Leadership Alabama

**AUBURN UNIVERSITY BOARD OF TRUSTEES  
CODE OF ETHICS COMPLIANCE DOCUMENT  
2013-2014**

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

1. I have \_\_\_\_\_, or do not have ☒, **(check one)** a business or professional relationship with any other Board member or any entity affiliated with any other Board member which constitutes a violation of any provision of the Code of Ethics. (If you do not have any such relationships skip #2 and answer #3.)
2. I have business or professional relationships with \_\_\_\_\_ other Board member(s). I certify that all such relationships are on terms no more favorable to me than the terms that are usual and customary in the ordinary course of comparable business or professional relationships between such other Board members and persons similarly situated to me who are not members of the Board of Trustees. Should any effort occur to influence the independent judgment on my part required in paragraph 1 of the Code of Ethics resolution, I will sever any and all business relationships with any member of the Board associated with such effort, or I will resign from the Board.

Name(s) and Nature of Relationship:

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

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

If so, please explain: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

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

Signed: ME  
Member  
Auburn University, Board of Trustees

Georgia  
STATE OF ALABAMA )  
Group COUNTY )

Before me, the undersigned, a Notary Public in and for said State and County, personally appeared David 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 27<sup>th</sup> day of May, 2014.

(SEAL)

Jessie W. Daulton  
Notary Public, State of Alabama Georgia  
My Commission Expires April 4, 2016



**AUBURN UNIVERSITY BOARD OF TRUSTEES  
CODE OF ETHICS COMPLIANCE DOCUMENT  
2013-2014**

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 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:

See Comment Page 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: \_\_\_\_\_

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. McCrary  
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 5 day of June, 20 14.

(SEAL)

Wicki Gumsley  
Notary Public, State of Alabama

My Commission Expires: 5/27/18

**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.**

**As of May 1, 2014, I retired from Alabama Power Company, Alabama Power Foundation and Southern Company. Any issues due to my previous employment/associations are no longer applicable.**

**AUBURN UNIVERSITY BOARD OF TRUSTEES  
CODE OF ETHICS COMPLIANCE DOCUMENT  
2013-2014**

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:

my son, WILL NEWTON, WORKS FOR  
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: JOHN NEWTON, my son, WORKS  
AS IT ADMINISTRATOR IN ELECTRICAL  
AND COMPUTER 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     )  
                                  )  
Lee 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 2<sup>nd</sup> day of June, 2014.

(SEAL)

Kale C. Hill  
Notary Public, State of Alabama

My Commission Expires: July 12, 2017

My Commission Expires: 10/3/10



**AUBURN UNIVERSITY BOARD OF TRUSTEES  
CODE OF ETHICS COMPLIANCE DOCUMENT  
2013-2014**

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 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:

Please See attached  
\_\_\_\_\_  
\_\_\_\_\_

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. 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 22<sup>nd</sup> day of May, 2014.

(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  
2013-2014

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. Great Southern Wood Preserving, Incorporated, also has a business relationship with the law firm Hare, Wynn, Newell & Newton. James Pratt is an associate with this 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  
2013-2014**

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

1. I have \_\_\_\_\_, or do not have ☒, (check one) a business or professional relationship with any other Board member or any entity affiliated with any other Board member which constitutes a violation of any provision of the Code of Ethics. (If you do not have any such relationships skip #2 and answer #3.)
2. I have business or professional relationships with \_\_\_\_\_ other Board member(s). I certify that all such relationships are on terms no more favorable to me than the terms that are usual and customary in the ordinary course of comparable business or professional relationships between such other Board members and persons similarly situated to me who are not members of the Board of Trustees. Should any effort occur to influence the independent judgment on my part required in paragraph 1 of the Code of Ethics resolution, I will sever any and all business relationships with any member of the Board associated with such effort, or I will resign from the Board.

Name(s) and Nature of Relationship:

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

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

If so, please explain: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

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


Signed:   
Member  
Auburn University, Board of Trustees

STATE OF ALABAMA     )  
Mobile     COUNTY)

Before me, the undersigned, a Notary Public in and for said State and County, personally appeared B.T. Roberts, 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 21st day of May, 2014.

(SEAL)

  
Notary Public, State of Alabama

My Commission Expires: 5/14/16

**AUBURN UNIVERSITY BOARD OF TRUSTEES  
CODE OF ETHICS COMPLIANCE DOCUMENT  
2013-2014**

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: My wife, Cindy, completed  
Service on the Auburn Alumni Asso.  
board of directors on Oct. 12, 2013.

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 Sahie

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 Sahie, whose name is signed to the foregoing instrument and who is known to me and acknowledged before me that he/she has executed said instrument on the day the same bears date.

Signed and sealed on this the 21 day of May, 2014

(SEAL)

Jodi K. Chesneault  
Notary Public, State of Alabama

My Commission Expires 10/26/15

**AUBURN UNIVERSITY BOARD OF TRUSTEES  
CODE OF ETHICS COMPLIANCE DOCUMENT  
2013-2014**

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

Name(s) and Nature of Relationship: 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.

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: James H Sanford

Member

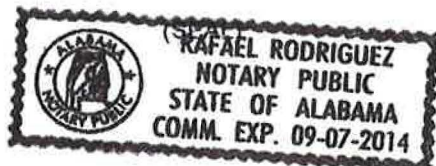
Auburn University, Board of Trustees

STATE OF ALABAMA )

Autauga COUNTY )

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


Signed and sealed on this the 22 day of MAY, 2014.



Rafael Rodriguez  
Notary Public, State of Alabama  
My Commission Expires: 9/7/14



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.

<sup>ONE</sup>  
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  
2013-2014**

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

Name(s) and Nature of Relationship:

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

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

Tennessee  
STATE OF ~~ALABAMA~~ )  
 )  
Davidson 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 21<sup>st</sup> day of May, 2014



Suzanne G. McDaniel  
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  
2013-2014**

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

1. I have \_\_\_\_\_, or do not have ☒ (check one) a business or professional relationship with any other Board member or any entity affiliated with any other Board member which constitutes a violation of any provision of the Code of Ethics. (If you do not have any such relationships skip #2 and answer #3.)
2. I have business or professional relationships with \_\_\_\_\_ other Board member(s). I certify that all such relationships are on terms no more favorable to me than the terms that are usual and customary in the ordinary course of comparable business or professional relationships between such other Board members and persons similarly situated to me who are not members of the Board of Trustees. Should any effort occur to influence the independent judgment on my part required in paragraph 1 of the Code of Ethics resolution, I will sever any and all business relationships with any member of the Board associated with such effort, or I will resign from the Board.

Name(s) and Nature of Relationship:

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

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

If so, please explain: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

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

Signed:

Robert Bentley  
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 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 22<sup>nd</sup> day of May, 2014

(SEAL)

David B. Bynum  
Notary Public, State of Alabama

My Commission Expires: 2017  
July 8, 2017