

2017-2018
AUBURN UNIVERSITY BOARD OF TRUSTEES
CODE OF ETHICS COMPLIANCE DOCUMENTS

**AUBURN UNIVERSITY BOARD OF TRUSTEES
CODE OF ETHICS COMPLIANCE DOCUMENT
2017-2018**

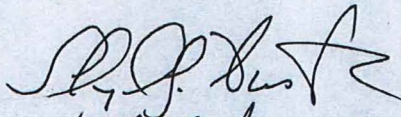
I affirm that I have reviewed the Auburn University Code of Ethics and that I have and will fully comply with its requirements. I further certify that:

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. (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: _____


Signed: L. J. Austin III F. J. Fay , 20 VB .
Member
Auburn University, Board of Trustees

AUBURN UNIVERSITY BOARD OF TRUSTEES
CODE OF ETHICS COMPLIANCE DOCUMENT
2017-2018

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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: _____

Signed: Michael R. Williams 10 May , 2018
Member
Auburn University, Board of Trustees

**AUBURN UNIVERSITY BOARD OF TRUSTEES
CODE OF ETHICS COMPLIANCE DOCUMENT
2017-2018**

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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 B**

Signed:



May 10 , 20 18 .

Member Robert W. Dumas
Auburn University, Board of Trustees

**Auburn University Board of Trustees
Code of Ethics Compliance Document
2017-2018**

**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.

J. Smith Lanier & Co. does provide some commercial insurance coverage for AuburnBank but the terms are no more favorable than the terms that are usual and customary in the ordinary course of business.

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 – Board of Directors
Auburn Research & Tech Foundation – Board of Directors
Auburn Business Incubator Advisory Committee Member
AU Golf Letterman Club Member**

**Auburn University Board of Trustees
Code of Ethics Compliance Document
2017-2018**

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

My daughter, Kristin Dumas Phillips, is employed by Auburn University (Tigers Unlimited) as Director of Stewardship.

My daughter, Kristin Dumas Phillips and her husband, Craig McDowell Phillips, own a landscape lighting company (Illuminate Landscape Lighting, LLC) located in Auburn. There could be potential landscape lighting jobs for Auburn University that they may submit bids for.

AUBURN UNIVERSITY BOARD OF TRUSTEES
CODE OF ETHICS COMPLIANCE DOCUMENT
2017-2018

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

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Name(s) and Nature of Relationship:

Note: Charles D. McCrary's son, Doug McCrary, is employed by my firm,
Harbert Management Corporation.

Charles D. 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: _____

Signed

Member

Auburn University, Board of Trustees

May 7 , 20 18 .

**AUBURN UNIVERSITY BOARD OF TRUSTEES
CODE OF ETHICS COMPLIANCE DOCUMENT
2017-2018**

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

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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: Ada Ruth Huntley, student, upcoming
AU Sophomore - daughter. She is a student employee as well.

Signed: _____

Member

Auburn University, Board of Trustees

May 30, 2018

Auburn University Board of Trustees
Code of Ethics Compliance Document
2017-2018

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 Of Counsel partner at the law firm of 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 interests in Auburn University other than as described above. Please note that I serve on the following boards of directors:

Children's First Foundation Board of Directors
Children's Village Board of Directors
Alabama School Readiness Advisory Board of Directors
Leadership Alabama Board of Directors
The Hope Institute
St. Vincent's Health System of Alabama Governing Board of Directors
University of Alabama School of Law Foundation Board of Directors

AUBURN UNIVERSITY BOARD OF TRUSTEES
CODE OF ETHICS COMPLIANCE DOCUMENT
2017-2018

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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. (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: _____

Signed: Kay Huey 6/8 , 2018.
Member
Auburn University, Board of Trustees

AUBURN UNIVERSITY BOARD OF TRUSTEES
CODE OF ETHICS COMPLIANCE DOCUMENT
2017-2018

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

Name(s) and Nature of Relationship:

Jimmy Rane - Insurance

Bob Dumas - Insurance

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: _____

Signed: D. Gaines Lanier May 9, 2018
Member
Auburn University, Board of Trustees

AUBURN UNIVERSITY BOARD OF TRUSTEES CODE
OF ETHICS COMPLIANCE DOCUMENT
ATTACHMENT A

I, D. Gaines Lanier have personal or business relationships with board members listed on form however, Marsh & McLennan Agency LLC Company, an insurance brokerage company of which I am Chairman has customers throughout the state. The company have business relationships with some board members. It also has various clubs, organizations or employees associated with Auburn University that has business relationships with Marsh & McLennan Agency LLC Company. Such relationships, if any, would have been entered into at terms no more favorable than to non-board members.

Sherri Williams

From: Charles Mccrary <cdmccrary@gmail.com>
Sent: Monday, May 7, 2018 5:37 PM
To: Sherri Williams
Cc: c d mccrary
Subject: Compliance document

AUBURN UNIVERSITY BOARD OF TRUSTEES CODE OF ETHICS COMPLIANCE DOCUMENT 2017-2018

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

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Name(s) and Nature of Relationship:

I am on The Board of Great Southern Wood

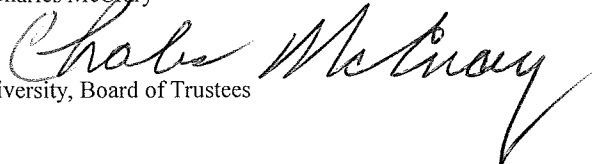
My son works for Harbert Management

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

If so, please explain:

Signed: , Charles McCrary

Member
Auburn University, Board of Trustees



AUBURN UNIVERSITY BOARD OF TRUSTEES
CODE OF ETHICS COMPLIANCE DOCUMENT
2017-2018

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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 son, JOHN, WORKS IN
THE COLLEGE OF ENGINEERING -

Signed: Sarah Younton, 20 18.
Member
Auburn University, Board of Trustees

**AUBURN UNIVERSITY BOARD OF TRUSTEES
CODE OF ETHICS COMPLIANCE DOCUMENT
2017-2018**

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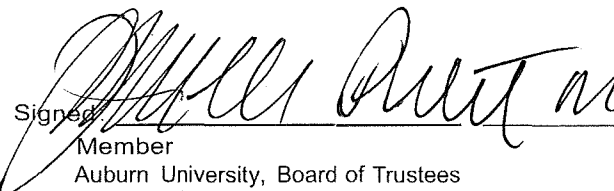
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Name(s) and Nature of Relationship:

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: _____

Signed

 May 9, 2018

Member

Auburn University, Board of Trustees

**AUBURN UNIVERSITY BOARD OF TRUSTEES
CODE OF ETHICS COMPLIANCE DOCUMENT
2017-2018**

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Name(s) and Nature of Relationship:

Please See attached

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: _____

Signed: 
Member
Auburn University, Board of Trustees

May 10 , 2018 .

**AUBURN UNIVERSITY BOARD OF TRUSTEES
CODE OF ETHICS COMPLIANCE DOCUMENT
2017-2018**

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Name(s) and Nature of Relationship:

Mr. Wayne Smith (see attachment)

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: Madison Riggins - student, upcoming AU

Junior - daughter (see attachment). She is a student
employee as well. JPR

Signed: Ante P. Riggins May 15, 2018
Member
Auburn University, Board of Trustees

Auburn University Board of Trustees
Code of Ethics Compliance Document
2017-2018

James W. Rane

I have a personal business or professional relationship with one member of the Auburn University Board of Trustees. That Trustee is Charles McCrary who joined Great Southern Wood Preserving's board of directors on September 22, 2017. As such, Mr. McCrary receives a directors fee and that fee is in the same amount as is paid to other members of Great Southern's board.

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 28 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 Heritage Foundation Board of Directors
Auburn Letterman's Association Honorary Member
Alabama State Bar Member
American Bar Association Member
President of the Jimmy Rane Foundation

**AUBURN UNIVERSITY BOARD OF TRUSTEES
CODE OF ETHICS COMPLIANCE DOCUMENT
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2. I was appointed in December 2016 (before I was appointed to the University Board of Trustees) to be a member of the Grandview Medical cEnter Board of Directors, which is an uncompensated position at this Birmingham-area medical center.

The parent company of Grandview Medical center is ultimately Community Health Systems, which is based in Tennessee. The Chairman and CEO of Community Health Systems is Wayne Smith, another University trustee.

While I am not sure if this is the type of business relationship contemplated by this question, I am disclosing it here out of abundance of caution and will accept the advice from the Board of Trustees' compliance specialists regarding whether it should be included here now or in the future.

3. Madison Riggins is my daughter and an upcoming Junior at Auburn University.

**AUBURN UNIVERSITY BOARD OF TRUSTEES
CODE OF ETHICS COMPLIANCE DOCUMENT
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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 son, Will, is the Sports Editor of The Plainsman newspaper.
My wife, Cindy, serves on the College of Liberal Arts Dean's Advisory Council.

Signed: M. Clark Sahlie May 8, 2018
Member
Auburn University, Board of Trustees

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Name(s) and Nature of Relationship:

Bob Dumas : We are board members of ARTF
which has business and professional
relationships with Auburn University

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: _____

Signed: James H. Sanford 5/07, 2018
Member
Auburn University, Board of Trustees

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Name(s) and Nature of Relationship:

Quentin Riggins, AU Trustee,

Serves as a member of the Grandview

Medical Center Board of Directors

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 brother, Jerry Smith, does business
with Auburn University.

Signed: 

Member

Auburn University, Board of Trustees

May 7, 2018