



ANNUAL BOARD MEMBER QUESTIONNAIRE / CONFLICT OF INTEREST

The Organization is required to answer certain questions and make certain representations on IRS Form 990 on an annual basis. **The Organization** also maintain a Conflict-of-Interest Policy. **The Organization** monitors compliance with this policy on an annual basis. IRS guidance in these areas suggest that an example of a “reasonable effort” on the part of the organization to comply with these requirements is to distribute a questionnaire annually to each current or former officer, director, trustee, and key employee listed on Form 990, Part VII, Section A – Compensation of Officers, Directors, Trustees, Key Employees, Highest Compensated Employees, and Independent contractors. The following questionnaire is distributed by **the organization** in order to comply with these requirements. Please complete the following questions and return them to **the organization** as indicated below.

Form 990, Part IV, Questions 28, 28a, 28b, and 28c

1. Did you have a direct business relationship or transaction **the Organization** other than as an officer, director, trustee, or employee?

___ NO

___ YES If yes, provide explanation: _____

2. Do you have a family member who had a direct business relation, or transaction with **the Organization**?

___ NO

___ YES If yes, provide explanation: _____

3. Do you or a family member have ownership interest in or serve as an officer, director, trustee, or indirect owner of an entity that had a business relationship or transaction with **the Organization**?

___ NO

___ YES If yes, provide explanation: _____

Form 990, Part IV, Question 3 and 12b

4. Did you have a family relationship or business relationship with any officer, director, trustee, or key employee of **the Organization**?

____ NO

____ YES If yes, provide explanation: _____

5. I have reviewed the Organization's written Conflict of Interest Policy. I have provided information below as to any potential conflicts of interest (if any) that I may have with **the organization** based on the policy.

Signature: _____

Date: _____

Print: _____

Please return to:

Lisa Thomas

Vice President of Finance

515 Springhill Plaza Court

Mobile, AL 36608

lthomas@swapte.org

DEFINITIONS:

Business Transaction – Business transactions include, but are not limited to sales, contracts for sale, lease, license, and performance of services, whether initiated during the organization's tax year or ongoing from a prior year. Business transactions also include joint ventures, whether new or ongoing, in which either the profits or capital interest of the organization and the interest person exceeds 10%. The organization's charging of membership dues to its officers, directors, etc., are not considered business transactions for this purpose.

Interested Person – An interest person is a current or former officer, director, trustee, or key employee listed on Form 990, Part VII, Section A or any of the following: 1) a family member of a current or former officer, director, trustee, or key employee listed on Form 990, Part VII, Section A 2) Any entity more than 35% owned directly or indirectly, individually, or collectively, by one or more current or former officers, directors, trustees, or key employees listed on Form 990, Part VII, Section A 3) An entity (other than a 501 (c) organization or governmental unit) of which a current or former officer, director, trustee, or key employee listed on Form 990, Part VII, Section A, was serving at the time of the transaction as an officer, director, trustee, key employee, or partner/member/shareholder with a direct or indirect ownership in excess of 5%.

Family Member – the family of an individual includes his or her spouse, ancestors, brothers, and sisters (whether whole or half-blood), children (whether natural or adopted), grandchildren, great-grandchildren, and spouses of brothers, sister children, grandchildren, and great grandchildren.