

August 9, 2024 for self-nomination, as described in the Election Policies and Procedures above.

DIRECTOR CANDIDATE QUESTIONNAIRE

PLEASE PRINT OR TYPE YOUR FULL NAME:

Julian WARD HAWES

STRUCTURE OF THE CANDIDATE QUESTIONNAIRE:

We are grateful for your interest in service on the SECU Board and for your support of SECU and its members.

The Candidate Questionnaire is divided into three sections. The first section is mandatory and collects information that helps SECU confirm your eligibility to serve on the Board. The second section is voluntary and solicits information from you that will be used to prepare the statement of background that will be shared with the membership if your name appears on the ballot. The last section is voluntary and gathers information that better helps the Nominating Committee evaluate your candidacy.

Please be sure to read each question carefully. If you have any questions regarding this questionnaire, please email board.corporate.secretary@ncsecu.org.

SECTION 1 - BIOGRAPHICAL INFORMATION

This section of the Candidate Questionnaire is mandatory and collects information that helps enable SECU to confirm you are eligible to serve on the Board of Directors and have not been convicted of (or entered into pretrial diversion for) a disqualifying offense under federal law.

Name: JULIAN Ward HAWES

Date of Birth: [REDACTED]

Home Address: [REDACTED]

Business Address: [REDACTED]

Telephone numbers:

Home: [REDACTED]

Work: [REDACTED]

Cell: [REDACTED]

E-mail address (personal): [REDACTED]

SECU Share Account Number: [REDACTED] [REDACTED]
(to be confidentially maintained)

QUESTION 1: CURRENT OCCUPATION

Are you currently employed?

☐

Yes

☐

No

☒

Retired

If you select yes, please provide your current employer, position, and title; if you select retired, please provide your most recent current employer, position, and title:

QUESTION 2: EDUCATIONAL BACKGROUND

Please provide your educational background:

N.C. State (Raleigh) B.A. Economics, Applied Mathematics
CCUE Designation SECU administered

QUESTION 3: BOARD AND VOLUNTEER EXPERIENCE

Please describe your experience serving on boards and your volunteer experience:

Participated and led SECU Advisory Board Meetings for 7 Branches for over 20 years.
Served as a resource person on Loan Policy for L.R.C.
Served on Goldsboro City Board of adjustment for Building code variations request - Appointed by City Commissioner (volunteer)
President of Lions Club and various offices
Served on local veterans group to assist civic clubs service to disabled and injured vets

QUESTION 4: SECU MEMBERSHIP

How long have you been a member of SECU?

49 years, months (6-1975)

Please note that your responses to Section 2, questions 1-4 may not exceed 250 words in total and must be responsive to the question.

PART I PERSONAL DATA

QUESTION 1: EDUCATIONAL BACKGROUND

Please describe your educational background, including names and locations of schools and institutions, dates of attendance, and certificates/degrees received. (You may cross-reference your response to the Section 2 - Statement of Background, Question 2 above.)

N.C. State 1965 to 1969 B.D. Economics
CCUE certificate - courses provided by SECU

QUESTION 2: BUSINESS AFFAIRS BIOGRAPHY

Your title, a description of your principal business activity (or if retired, your last business affiliation) and a brief summary of your career, including any memberships on Boards of Directors held by you in the last 15 years. The background should relate to the level of your professional competence, which may include, depending upon the circumstances, such specific information as the size of the operation supervised, led, organized or managed, amount of finances managed and role in employee performance management. Emphasis is requested regarding your experience with, and knowledge of, North Carolina State government as an employer. (You may cross-reference your response to the Section 2 - Statement of Background, Questions 1 and 3 above.)

S.V.P. for SECU in Goldsboro for many years (decades)
(Responsible for total Branch operations in Goldsboro, Wilson, Rocky Mount, Nashville, Kenansville, Clinton and Snow Hill)
I dealt directly with facility directors and H.R. with Cherry Hospital, O'Berry Center, Wayne Corrections, Voc. Reh, DOT, Wayne County schools, and local Gov't agencies like Social Services, Mental Health, Health etc.

QUESTION 3: COMMUNITY SERVICE BIOGRAPHY

A description of your principal community service activities, including any memberships on Boards of Directors or other leadership roles held by you during the last 15 years. The background should relate to your understanding of non-profit operational and financial management, your ability to develop and advance a non-profit mission and vision, and your commitment to serving people. The background should include such specific information as the size and mission of the organization or operation, your leadership and financial responsibilities, and your experience in measuring the effectiveness of the organization's work. (You may cross-reference your response to the Section 2 - Statement of Background, Question 3 above.)

President and Officer in old established Lions Club
Local Veterans Service committee assisting local civic clubs
to help disabled and infirmed vetrans confined to a care facility.
Served as a Boy Scout liason to assist local scoutmaster to
reach out to disadventaged youth - Numerous church committees
for over 50 years - too many to list in this space.

PART 2

QUALIFICATIONS FOR SECU BOARD SERVICE

QUESTION 1: GOALS IN SERVICE

Please describe why you wish to serve on the SECU Board.

I think that I would bring a wealth of perspectives to the board as a result of 3 decades sitting across from a broad spectrum of members. Thousands were low income and most had to work two jobs to survive. I also saw thousands of success stories. During 3 decades, the SECU grew beyond our wildest dreams. Our loan losses were between 25% and 50% consistently also achieved extremely high member satisfaction surveys. These members need a voice in their credit union. I can be that

QUESTION 2: SKILL-SETS AND ATTRIBUTES

The SECU Board of Directors consists of eleven individuals that bring diverse skill-sets, experiences, and ideas to the Board. While no single member possesses all skill-sets and attributes required by the Board, the 11 directors collectively constitute a strong, well-rounded Board that draws upon one another's strengths. Below is a list of skill-sets, experience and attributes that are relevant and useful for service on this Board. Please rate your strength in each area on a scale of 1 to 5 from weak to strong, with 1 meaning "not a strength" and 5 meaning "very strong."

SKILLSET RATING (Rate on Scale of 1 to 5 from weak to strong)	RATING
Accounting	4
Agency Management	5
Aggregate Membership Perspective	5
Audit Experience	4
Board Experience (Govt / Non-Profit)	4
Budgeting	4
Collaborative Skills	5

SKILLSET RATING (Rate on Scale of 1 to 5 from weak to strong)	RATING
Communications	5
Community Service	5
Cybersecurity	3
Data & Analytics	4
Data Evaluation Expertise	4
Education	5
Energetic	5
Executive Experience (Business, Govt. or Non-Profit)	5
Financial Literacy	5
Financial Mgmt & Control	5
Financial Services Expertise	5
Foundation/Philanthropic Work	5
Governance Expertise	4
Healthcare	3
Human Resources Experience	4
Independent Minded	4
IT Planning & Operations	3
Legal / Compliance	4
Public Speaking	4
Real Estate	4
Regulatory Environment	3

SKILLSET RATING (Rate on Scale of 1 to 5 from weak to strong)	RATING
Represents Core Membership Base	5 (10 if I could)
Risk Management	5
Social Media Expertise	4
State Govt Employment	4
Strategic Visioning & Planning	5
Strong Network	5
Understands Member Needs	5 (10 if possible)
Understands NC's Education, Housing, Healthcare and Human Services Needs	4

QUESTION 3: RELEVANT EXPERIENCE

Describe your experience, qualifications, and/or expertise which are relevant to the skill sets, experience, and attributes listed in question 2, as well as to any other skill set or attribute that you think you would bring to this Board's work.

- (i) list any experience or expertise in operating, managing or advising companies in the same or related industries or lines of business in which SECU operates
- (ii) highlight relevant academic credentials, formal training, or certifications
- (iii) state specific qualifications that make you especially suited to serve as a member of any of SECU's Board committees (such as, with respect to the Audit Committee, any financial reporting expertise)
- (iv) list your volunteer activities with respect to SECU, such as Advisory Board memberships, Loan Review Committee work, participation in any fundraising or other charitable undertakings, etc.

describe the contributions you would like to make to the work of the SECU Board

Other than conducting my own business, I serve in a fiduciary capacity as trustee for several family trusts involved in managing brokerage accounts, managing farm assets, and a minority owner in a Shell distributorship-wholesaling petroleum and gasoline to retailers. Due to the nature of the underlying business, none would intersect with SECU's business concerns or interest. They are in entirely different industries - No cross over at all.

PART 3

SCREENING FOR MANAGEMENT OF POTENTIAL CONFLICTS

Note that the purpose of these questions is not to disqualify based upon various kinds of relationships, but rather to identify family and business relationships so that any potential for conflicts can be disclosed and managed. This is ordinary business practice and standard conflict management protocol.

QUESTION 1: IMMEDIATE FAMILY MEMBERS

Transactions and various relationships between a Board member or their family and the SECU must be tracked in certain ways. This information would allow SECU to do that. Please list below all your immediate family members. The term "immediate family member" means the following: spouse, child, sibling, parent, grandparent, grandchild, stepparent, stepchild, stepsibling, adoptive relationships and any other persons living in the same residence as you and maintaining a single economic unit.

Name	Relationship to You	City of Residence

QUESTION 2: BUSINESS INTERESTS

List any interests in (1) a non-publicly owned company or business interest (including interests in sole proprietorships, partnerships, limited partnerships, joint ventures, limited liability companies, limited liability partnerships, and closely held corporations), and (2) a publicly owned company where you control a majority of the voting shares.

QUESTION 3: TRANSACTIONS WITH SECU IN WHICH YOU MIGHT HAVE AN INTEREST

The purpose of this inquiry is to determine whether you, an immediate family member or a business with which you are affiliated either transacts significant business with, is employed or retained by, or is engaged in a consulting or other type of service-provider relationship with SECU or its affiliates. For purposes of this inquiry, SECU's affiliates include The State Employees' Credit Union Foundation, Credit Union Investment Services, Inc., SECU Brokerage Services, Inc., SECU*RE, Inc., and SECU Life Insurance Company. The kinds of activities that applicants should disclose include, for example, employment by, or ownership of, an organization that is a vendor of SECU or its affiliates, or is a contractor, service provider or consultant to SECU or its affiliates. These activities are not necessarily disqualifying; they simply should be disclosed so that the applicant, the Board, and the applicant's employers or associates can avoid and/or manage any potential conflicts.

- (a) Do you or any member of your immediate family have an ownership interest in a business providing goods or services to SECU or its affiliates (including vendors and accounting, financial, legal, and consulting and tax advisors)?

If so, please identify the family member, the name and address of the business, the type of business, and the nature of the contract/relationship with SECU or its affiliates.

- (b) Are you, or is any member of your immediate family, employed by a company or firm that provides goods or services to SECU or its affiliates (including vendors and accounting, financial, legal, consulting, and auditing and/or tax advisors)?

If so, please identify the family member, the name and address of the business, the type of business, and the nature of the contract/relationship with SECU or its affiliates.

- (c) Do you, any of your immediate family members, or business with which you or your immediate family members are associated have a personal services contract with SECU, its affiliates or their respective Directors or executive officers?

If yes, please provide details.

- (d) With respect to any of your business, employment or investment activities, are you aware of any circumstance that may place the interests of yourself or your business associates/clients/members/constituents in conflict with the interests of SECU or its affiliates?

If yes, please describe below.

- (e) Please provide any other information regarding transactions or business relationships involving you, any member of your immediate family or any business with which you or your immediate family members are associated, on the one hand, and the SECU/SECU Foundation, their executive officers, or their Board members, on the other hand, that you think is relevant.

- (f) Do you or any of your immediate family members have a financial interest in another credit union or other financial services provider? A person has a financial interest in an entity if the person has, directly or indirectly, through business, investment, or family an ownership interest in an entity (other than as a credit union member or through publicly traded stocks) or a compensation arrangement (including employment) with an entity.

If yes, please provide details.

- (g) Do you or any of your immediate family members have a position as a trustee, director, officer, key staff, or someone owing a fiduciary duty to another credit union or other financial services provider?

If yes, please provide details.

PART 4 LEGAL PROCEEDINGS

- If you answer "Yes" to any of the questions in this Part, please provide details concerning the event in the space provided after each question, including the court or agency in which the proceeding is, or was, pending, the date it was instituted, the principal parties, a docket or file number (if available), a description of the factual basis alleged to underlie the proceeding, the relief sought and any mitigating circumstances.

Please Note: the answers to these questions are not necessarily disqualifying — the inquiry is for the purposes of allowing evaluation of relevant factors.

QUESTION 1: BANKRUPTCY AND SIMILAR PROCEEDINGS

During the past 10 years, has a petition under the federal bankruptcy laws or any state insolvency law been filed by or against you, or has a receiver, fiscal agent or similar officer been appointed by a court for your business or property; or has such a petition been filed by or against, or such a receiver, agent or officer been appointed for, the business or property of (A) any partnership in which you were a general partner at or within two years before the time of such filing, or (B) any corporation or business association of which you were an executive officer at or within two years before the time of such filing?

If yes, please explain:

QUESTION 2: CRIMINAL PROCEEDINGS

During the past 10 years, have you been convicted in a criminal proceeding or are you a named defendant or subject of a pending criminal proceeding (excluding minor traffic violations)?

If yes, please explain:

QUESTION 3: VIOLATION OF LAWS

During the past 10 years, have you been found by a court of competent jurisdiction to have violated any federal or state law, or are you presently the subject of any formal or informal investigation or proceeding that could result in the finding of such a violation?

[REDACTED]

If yes, please explain:

[REDACTED]

QUESTION 4: PROCEEDINGS ADVERSE TO SECUCU

Have you, any business associate of yours, or any member of your immediate family, been a party to any proceeding in which you were, or are, a party adverse to SECUCU or its affiliates?

[REDACTED]

If yes, please explain:

[REDACTED]

CERTIFICATION OF INFORMATION

The information I have provided in my responses to Board of Directors Candidate Package, including any appendices and attachments, is true, correct and complete as of the date given below. I agree to supplement or update the information I have provided to the extent there is any material change while my application for Board membership is pending. I understand that the information I am furnishing to you herein will be used by the Nominating Committee, the Board of Directors and/or their agents solely as necessary for evaluation of my interest in becoming a member of the SECU Board of Directors and in connection with the SECU Board of Directors 2024 elections. I irrevocably grant permission to SECU to use, in perpetuity and without compensation, my name, image, likeness, professional and personal biographical information and/or quotes in connection with the 2024 SECU Board of Directors election in any medium whatsoever, including, but not limited to, printed materials (ballots, newsletters, Annual Reports, etc.), video, social media and web content.

5-28-24

Date

Julian Ward Hawes

Signature

JULIAN WARD HAWES

Print Name

**NOTIFICATION AND AUTHORIZATION FORM
FOR EMPLOYMENT CONSUMER REPORT**

- I understand and acknowledge that State Employees' Credit Union ("SECUCU") may obtain a consumer report on me for employment purposes in connection with my interest in serving on the SECUCU Board of Directors.
- I hereby authorize SECUCU to obtain a consumer report on me from a consumer reporting agency before being placed on the ballot as a candidate for election to the SECUCU Board of Directors.
- If I am elected by the membership to serve on the SECUCU Board of Directors, I further authorize SECUCU to check my consumer report as needed, on a continuing basis, as it relates to my service on the Board. This authorization will be valid during my tenure on the Board.

The consumer report may include such information which bears on my credit worthiness, credit standing, credit capacity, character, general reputation, personal characteristics, mode of living, or criminal record. SECUCU will evaluate the findings of the report(s) in terms of business necessities of the position and/or their relatedness to the duties of the position.

Signature of Applicant: Julien Ward Hawes Date: 5-28-24
5-28-24

FOR INTERNAL USE ONLY:

Account Number: _____

Name (Please Print): _____

Current Address: _____

Birth Date: _____

CERTIFICATION OF CANDIDACY AND WILLINGNESS TO SERVE

Board Of Director Candidate: Julian Ward Hawes

If I am nominated by the Nominating Committee to run for a position on the Board of Directors with the State Employees' Credit Union or I validly self-nominate, by signature on this Certification Form, I agree to have my name placed before the membership as a candidate for election to the Board of Directors, and, if elected, agree to serve. Unless otherwise specified to me, my term of office shall be for three years.

Signature: Julian Ward Hawes Date: 5-28-24

PLEASE ALSO PROVIDE THE FOLLOWING INFORMATION, IF ANY APPLY:

☐ I might be interested in serving on an Advisory Board for my local SECUCU Branch Office.

MAIL TO:

Assistant Corporate Secretary
State Employees' Credit Union
119 N Salisbury Street
Raleigh, NC 27603

**SECU BOARD OF DIRECTORS
APPLICANT VOLUNTARY SELF-IDENTIFICATION**

We are grateful for your interest in service on the SECU Board and for your support of SECU. SECU provides equal opportunity to all qualified persons regardless of race, color, religion, age, genetics, sex, sexual orientation, gender identity, national origin, disability, or other classification protected by law. SECU is committed to Diversity and Inclusion and values the differences in our staff, Board of Directors, and in our North Carolina communities. We believe that embracing the uniqueness of individuals makes our cooperative stronger, more innovative and better able to serve SECU members. Completion of this form is voluntary, and participation or refusal of participation will not affect consideration for appointment to the SECU Board of Directors.

Please complete the following and submit with your application.

Last Name: HAWES First Name: Julian

Date: 5-28-24

Signature:

Julian Ward Hawes
Signature must be handwritten

See next page for EEOC Race/Ethnic Identification category definitions