

Cortlan J. Wickliff, Ph.D., J.D. is a licensed attorney with a Ph.D. in Engineering and extensive experience leading both public and private organizations to successfully grow in size and efficacy. With over a decade of transactional law experience as both an in-house and law firm attorney representing individuals and entities ranging from start-ups to Fortune 500 companies, Dr. Wickliff has an extensive understanding of an attorney's role in making projects, programs, and businesses thrive. This work has included developing governance & policy, fostering inter-institutional partnerships, leading public-private partnerships (P3s), and commercialization technical research. In addition to his work as an attorney and compliance professional, Dr. Wickliff has worked as an engineer, consultant, researcher, and project manager in both the public and private sectors.

EDUCATION

TEXAS A&M UNIVERSITY, College Station, TX
 Ph.D. in Interdisciplinary Engineering
 Business Certificate from Mays School of Business

HARVARD LAW SCHOOL, Cambridge, MA
 Juris Doctorate

RICE UNIVERSITY, Houston, TX
 B.S. in Bioengineering

LICENSES

LICENSED TEXAS ATTORNEY
 Nov. 2013

**CERTIFIED COMPLIANCE & ETHICS
 PROFESSIONAL**
 Sept. 2022

EMPLOYMENT HISTORY

RICE UNIVERSITY – <u>Associate Vice Provost of Academic Affairs & Strategic Initiatives</u>	07/18 – Present
<u>Principal Designated School Official and Responsible Officer</u>	07/23 – 05/24
<u>Independent Engineering Researcher</u>	01/09 – 05/09
UNIVERSITY OF HOUSTON – <u>Adjunct Professor of Entrepreneurial Law</u>	06/24 – Present
INDEPENDENT LEGAL CONSULTING – <u>Corporate & IP Counsel</u>	11/13 – Present
LORI GRAY AND ASSOCIATES – <u>Corporate Counsel</u>	03/17 – 10/18
FUJIFILM HOLDINGS AMERICA CORPORATION (Acquired Kalon) – <u>Legal Counsel</u>	01/15 – 09/15
KALON BIOTHERAPEUTICS, LLC (Acquired by Fujifilm) – <u>Assistant General Counsel</u>	09/13 – 01/15
TEXAS A & M UNIVERSITY – <u>Teaching Assistant / Guest Lecturer</u>	08/13 – 05/16
MCKOOL SMITH L.L.P. – <u>Summer Associate</u>	07/12 – 08/12
PIRKEY BARBER L.L.P. – <u>Summer Associate</u>	05/12 – 06/12
HARVARD LAW SCHOOL CLINIC – <u>Legal Counsel</u>	08/11 – 12/12
BAKER BOTTS L.L.P. – <u>Summer Associate</u>	05/11 – 06/11
BOSTON SCIENTIFIC – <u>Summer Engineer</u>	05/09 – 08/10
NATIONAL SCIENCE FOUNDATION – <u>Summer Researcher</u>	05/08 – 08/08

EXPERIENCE & CORE SKILLS**LEGAL EXPERIENCE**

- Served as legal counsel for organizations with a multibillion-dollar-aggregate capex in a variety of industries, including the agricultural, biologics/pharmaceutical, biotech, construction, education, energy, engineering, entertainment, liquid-natural-gas, medical, manufacturing, professional services, and retail industries
- Assisted small business owners, early-stage companies, and startups with the successful establishment and expansion of their businesses, which included establishing new entities & new divisions of existing entities, drafting corporate governance, drafting entity formation documents, and drafting initial corporate contracts
- Led successful public-private partnerships (P3s), and managed compliance with public grants
- Provided legal support and acted as the Secretary for Boards of Directors/Trustees in public & private sectors
- Represented and negotiated with investment groups purchasing IP, property, companies, and other assets
- Prepared material and conducted pitches for companies to raise as much as \$30M in grant, angel investor, series A and B funding from individuals, government agencies, corporate, and venture capital investors
- Managed compliance for a multinational corporation with no incidents of fines, failed audits, or sanctions

- Simultaneously managed legal matters & filings for 20+ subsidiaries located in North & South America with no incidences of non-compliance or failed internal/external audits
- Led a team of lawyers (including external counsel) and legal assistants to negotiate and close several multimillion-dollar contracts successfully, and complete projects under budget
- Represented organizations to community groups, public action committees, local, state, & federal officials & agencies, including mayor's offices, county judges, county commissioners, the Governor's Office, state legislators, state education agencies, tourism, & workforce agencies (including the Texas Workforce Commission), members of Congress, the U.S. State Department, Homeland Security, and OSHA
- Assumed leadership of a legal dept. & used limited resources to resolve an 8-month backlog, then created & implemented a contract management system that reduced document review times to less than 72-hr
- Negotiated, drafted, and implemented standard operating procedures, subcontracts, corporate governance, and policies to comply with federal and state requirements associated with government contracts and grants for both private and public entities (including Federal Acquisition Regulations [FAR] provisions)
- Negotiated provisions of community-benefits agreements and represented clients to public stakeholders
- Negotiated & drafted publishing (including artist publishing), recording, licensing, and leasing agreements
- Established international supply chains for entities and negotiated & drafted the necessary agreements
- Negotiated, drafted, and executed property agreements, including public economic incentive / tax-abatement contracts and agreements related to IP rights, real estate, fixtures, and equipment purchases & sales
- Worked to successfully close the sale of the company that netted multimillion-dollar-profits for shareholders
- Filed and managed copyrights and trademarks for clients and represented clients to the USPTO and USCO
- Provided consulting to improve recruitment, retention, commercialization, IP management, and joint programs
- Attained grants, negotiated tax abatement agreements, and secured public contributions in excess of \$3MM.
- Investigated and adjudicated allegations against employees, management, students, faculty, and staff
- Evaluated intellectual property infringement claims and represented clients in IP disputes
- Represented clients in legal disputes: Negotiated settlement agreements saving clients as much as \$2.9M in damages, Argued & won summary judgment motions, Successfully engaged in alternative dispute resolution, Performed legal research, Drafted official correspondences, motions, & court documents, Drafted legal briefs & memos, and Adjudicated & settled sensitive HR matters to prevent litigation

COMPLIANCE MANAGEMENT EXPERIENCE

- Established, restructured, and updated compliance programs to ensure compliance with relevant agency standards, corporate standards, and federal, state, and local laws/regulations
- Managed J-1 & F-1 visa programs and led the organization to a 0% non-compliance rating
- Performed compliance assessments to identify shortcomings in policies and systemic non-compliance
- Conducted peer review analysis to establish best practices for individuals, departments, and organizations
- Managed quality control and quality assurance personnel to meet & exceed quality metrics successfully
- Investigated and assessed issues of non-compliance and developed and implemented corrective action plans
- Developed and conducted training, including training related to Title IX, diversity, equity & inclusion (DEI), sexual harassment, cyber security, conflict of commitment/interest, and intellectual property protection

MANAGEMENT & PROJECT MANAGEMENT EXPERIENCE

- Led research projects & teams to successfully deliver products, publications, reports, and recommendations in the research areas of bioengineering, compliance, law, leadership, medicine, and systems engineering
- Developed and managed faculty retention program that decreased employee turnover by up to 40%
- Organized and led collaborative, interdepartmental teams to produce interdisciplinary corporate solutions
- Planned, managed, executed, and headlined a 25-city, 4-week, speaking tour and led a team of 10+ people to meet aggressive deadlines to deliver 50+ presentations and travel over 5,000 miles
- Trained and managed multiple direct reports, which included setting career development plans for employees
- Drafted and published textbooks, manuals, other training materials and publications
- Developed and managed an internship program for high school and college students
- Developed and taught business, engineering/STEM, leadership, and legal (IP, contracts, etc.) curriculum

- Provided technical expertise in the areas of leadership development, engineering, education/training, design, transactional/corporate law, and governance to entities in the public and private sectors
- Proposed, determined the scope of, initiated, and led special projects to successfully increase organizations' size, profitability, compliance, and efficacy
- Established and managed relationships with institutional partners from both the private and public sectors
- Created and led DEI initiatives that increased employee and student satisfaction as measured by climate surveys
- Drafted mass communications on behalf of executive leadership (including President & Provost)
- Represented organizations in meetings with stakeholders and other organizations, which has included the organization's board of directors, the university's board of regents, elected local, state & federal officials, strategic partners, vendors, customers, sub-contractors, faculty-researchers, employees, and competitors
- Worked with faculty and students to conduct research in various fields, including business management, biomedical engineering, chemical engineering, electrical engineering, energy, law, and oil & gas

COMMUNITY OUTREACH EXPERIENCE

- Designed, hosted, and implemented STEM, art, academic success, DEI, and outreach programs
- Planned and implemented community-building initiatives & community outreach programs for 18+ years
- Delivered impactful motivational speeches to professional, academic, and lay audiences for 15+ years
- Mentored youth and young professionals to succeed in top-ranked academic and corporate environments
- Developed, planned, and implemented programs that achieved organizational objectives associated with recruitment, retention, DEI, and institutional responsibility in both the public and private sectors
- Represented community-based organizations in discussions/negotiations with public and private stakeholders
- Served on academic and community advisory boards, including the Texas State Science Fair, the Houston Millennial Board, the Independent Police Oversight Board, and multiple conference planning committees

SOFTWARE PROFICIENCIES

- Expert in Microsoft Office (Word, Outlook, PowerPoint, Excel, etc.), Adobe Suite (Acrobat, Premier, etc.), LabVIEW, Blackmagic, OBS Studio, Chrome, Zoom, Microsoft Teams, and CyberLink PowerDirector
- Competent in MATLAB, Python, Adobe Photoshop, project management software, and QuickBooks

PUBLIC RELATIONS, PUBLICATIONS, AND PRESENTATIONS

- Presented at numerous universities, including Massachusetts Institute of Technology, Rice University, Texas A & M University, Harvard Law School, University of Houston Law Center, Huston-Tillotson University, Prairie View A & M University, Texas Southern University, Thurgood Marshall School of Law, University of North Texas, St. Philip's College, University of Texas, Lamar University, and West Texas A & M
- Presented at conferences hosted by various organizations & government agencies, including Hurlburt Field United States Air Force Base – Special Operations Wing, Texas Workforce Commission Annual Conference, National Convention for U.S. Census Bureau, National Society of Black Engineers, Houston Lawyers Association, Texas's Y-Texas Youth Summit, The Association for Capital Projects Engineering & Construction Community Regional Conference, the Boys and Girls Club, and Texas State Science Fair
- Presented at numerous primary & secondary schools, churches, corporate gatherings, and community events
- Featured in numerous publications & news segments including Boston Globe, Houston Chronicle, Austin American Statesmen, Fox News, NBC News, ABC News, CW News, ABC Crossroads, Roland Martin Segment, PBS, ESPN Radio Real Deal with Akil, 95.1 with Kelli O'Neil, and Tom Joyner Morning Show
- Wrote publications including:
 - Book: Young And Driven: Overdrive (Available on Amazon.com & YoungAndDriven.com)
 - Peer Reviewed Article: The Constitutional Crisis of Government Officials Ignoring Facts in Policy Creation (2019) [Thurgood Marshall Law Review]
 - Dissertation: Study of Feedback Communication in a Technical Organizational Compliance System
 - Textbook/Workbook: Problem Solving and Applied Industrial Math

REFERENCES UPON REQUEST