

Cortlan J. Wickliff, Ph.D., J.D. is a licensed attorney with a Ph.D. in Engineering and extensive experience leading successful initiatives in both the public and private sectors. Despite his extensive work in business and the legal profession, Dr. Wickliff has consistently given back to his community by leading public health, education, and job creation/training programs. Dr. Wickliff's efforts have resulted in thousands of additional jobs for Texans, expanded access to healthcare/benefits for workers, and thousands of young people being inspired to attend college and pursue careers in STEM.

**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**

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

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- Served as the liaison between organizations and local, state, & federal officials, including mayor's offices, county judges, the Governor's Office, state legislators, state education, tourism, & workforce agencies, members of Congress, the U.S. State Department, Homeland Security, and other oversight agencies.
  - 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)
  - Managed compliance for a multinational corporation with no incidents of fines, failed audits, or sanctions
  - 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
  - Researched and drafted peer-reviewed articles
  - 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
- 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 trainings, 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
- Led public-private partnerships to successfully bring jobs to underserved Texas communities
- 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
- Created and led pre-college outreach programs to promote STEM education
- 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 executive leadership 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

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- 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

#### **HIGHER EDUCATION EXPERIENCE**

- Developed, edited, and updated policies and procedures to address changes in federal/state law and best practices, including those related to intellectual property, Title VI-IX, FERPA, HIPAA, the Clery Act, Foreign Corrupt Practices, VAWA, immigration, compliance, commercialization, research, promotion & tenure, conflict of interest/commitment, and employee benefits
- Worked with commercialization and innovation offices to implement & grow entrepreneurship initiatives and technology commercialization (including licensing), resulting in a 16% annual increase in research revenue
- Led interdisciplinary and cross-functional groups to achieve strategic goals
- Investigated and adjudicated allegations against students, faculty, and staff
- Successfully initiated, fostered, and managed interinstitutional relationships
- Acted as a liaison between the university's senior leadership and its faculty, staff, and students
- 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)
- Provided consulting to improve recruitment, retention, commercialization, IP management, and joint programs
- Developed and managed faculty retention program that decreased employee turnover by up to 40%
- Represented the university to government officials, community leaders, corporations, & industry associations
- Developed and taught business, engineering, leadership, and legal curriculum
- Developed and implemented pre-college, college, and graduate school recruitment programs
- Led committees and research teams to recommend & draft updates to university policies and procedures
- Taught and advised both undergraduate and graduate students
- 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
- Organized health drives and health screening programs in Harris County
- Organized voting registration and voting campaigns in communities around Texas
- Advocated for youth programs to state agencies and state officials
- 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

#### **GOVERNMENT RELATIONS**

- Served on numerous state and local boards/committees to address public needs, including Texas' State Science & Engineering Fair, Houston's Independent Police Oversight Board, Houston's Millennial Oversight Board, and the Greater Houston Partnership's Higher Education Committee
- Represented organization to state agencies, the governor's office, federal legislators, the state legislature, and various county judges, county commissioners, judges, and mayors' offices around the state

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- Represented organization to the federal agencies, including OSHA, the State Department and Homeland Security
  - Represented organizations to community groups, including religious organizations, public action committees, public interest groups, and protest groups.
  - Applied for grants, negotiated tax abatement agreements, and successfully secured public contributions in excess of \$3MM.
  - Successfully managed organizational compliance with FAR provisions of government contracts and the regulatory requirements imposed by federal and state agencies.

#### **PUBLIC RELATIONS 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 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, the National Society of Black Engineers, the 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 high schools, middle schools, and elementary schools
- Presented at numerous churches, corporate, 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

#### **PUBLICATIONS**

- Book: Young And Driven: Overdrive (Available on Amazon.com & YoungAndDriven.com)
- Book: Young And Driven
- 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

#### **PREVIOUS RESEARCH TOPICS**

##### **LEGAL RESEARCH**

- Efficiently incorporating scientific knowledge & empirical studies into drafting legal policy/laws
- Methods for in-house counsel to maximize compliance with regulations and standard operating procedures
- Processes for and triggers of creating legal policy in organizations and governments
- Developed a contract and document management system to identify contractually required actions

##### **TECHNICAL/BIOMEDICAL RESEARCH**

- Applying engineering methods to optimize engineering systems and compliance in an organization
- Developed hearing testing mechanisms for premature babies
- Modified pacemaker leads and casing to detect heart movement and diagnose neurological disorders
- Alternative and carbon-capture research
- Designed, built & tested apparatuses for equipment testing and validation in research & development facilities
- Designed, built & tested medical diagnostic devices

##### **BUSINESS, MANAGEMENT & SYSTEMS ENGINEERING RESEARCH**

- Factors that improve employees' responsiveness & willingness to communicate with their employer
- Hiring, promotion, and training policies that promote communication within organizations
- Diversity, equity, and inclusion programs and their impact on community engagement