

# Markus Hartmann, JD, MBA

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## Visionary Legal Executive for Multinational Corporations

Recognized for strategic leadership in corporate governance, risk management, advocacy, and legal innovation. Adept at transforming legal departments into strategic business enablers, ensuring operational excellence, and influencing public policy. Extensive experience in corporate governance, AI-driven legal solutions, and stakeholder engagement. Regularly sought by senior leadership teams needing:

- Strong business focus, understanding of profit centers and business models, and advocacy for growth
- Embrace of uncertainty, even in rule-based systems, with an appreciation of shading, nuance, and degrees
- U.S., regional, and global perspectives and team building
- Emphasis on fundamental excellence, integrity, ethical leadership, and accountability
- Use of legal as a tool to advance and protect profitability, market share, product pipelines, and supply chain
- Conversion of traditional cost centers to efficient, productive, and agile supporters of monetization expansion

Conversational fluency in German, with experience conducting business and providing legal leadership in 17 countries— Australia, Canada, China, Djibouti, France, Germany, Hong Kong, Italy, Mexico, the Netherlands, New Zealand, Poland, Spain, Singapore, Romania, the UK, and the U.S.

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DragonGC | Greenwich, Connecticut (Remote) | Feb 2025 – Present

### Chief Legal Development Officer

- Architect of an AI-powered legal content strategy for shareholder communication and corporate governance, leveraging machine learning algorithms to ensure real-time alignment with SEC regulatory changes and business objectives.
- Pioneer AI-driven legal workflow automation, integrating authoritative data sources into the platform's 700+ disclosure topic framework to streamline public company compliance processes and reduce manual legal research by 60%.
- Spearhead client engagement initiatives to enhance legal compliance, including training programs and live demonstrations.
- Collaborate with sales and marketing teams to optimize thought leadership, industry event participation, and business growth.
- Champion AI-powered legal innovation at global industry conferences, representing DragonGC's cutting-edge artificial intelligence applications in corporate governance and establishing strategic partnerships that advance AI adoption in legal operations.

Mister Car Wash, Inc., Tucson, AZ | NYSE: MCW | Oct 2022 to Jan 2025

General Counsel & Corporate Secretary - Recruited as the top legal officer and NEO for this publicly traded operator of over 500 car washes across the United States, with 5,000+ employees and North America's largest car wash subscription program. Directly engage with the CEO and Board of Directors to provide effective counsel on company strategies and implementation. Led a team of attorneys and legal professionals providing legal advice and oversight for the company's operations, transactions, governance, securities filings, litigation, risk management, and regulatory compliance.

- Provided legal oversight, ensuring compliance with SEC, governance, and regulatory requirements.
- Led legal operations, litigation strategy, risk management, M&A transactions, and corporate policy implementation.

- Directed all aspects of Board governance, including SEC filings, compensation structures, AI governance, and shareholder resolutions.
- Pioneered AI-driven legal research and contract automation, reducing external legal costs and enhancing efficiency.

Stryker Corporation (Spine Division), Leesburg, VA | NYSE: SYK | May 2021 to October 2022

Senior Compliance Officer. Led the Compliance efforts supporting the Spine division of Stryker, one of the world's leading medical technology companies. A senior member of the Commercial Division Compliance Leadership team, responsible for driving compliance programs while ensuring alignment with the global Ethics and Compliance strategy and plan. Conducted an annual compliance risk assessment and the annual needs assessment to ensure interactions with health care professionals comply with anti-kickback statutes, FCPA, UK Bribery Act, privacy regulations, and other relevant laws, policies, guidelines, and industry standards. Developed a mitigation strategy and program for 2022.

Provided Compliance support to government investigations, M&A, and corporate litigation teams.

Carrols Restaurant Group, Inc., Syracuse, NY | NASDAQ: TAST | Feb 2020 to Mar 2021

Vice President – General Counsel & Corporate Secretary. Carrols was one of the largest restaurant franchisees in the United States, operating 1,090 restaurants. It was the largest Burger King franchisee in the United States, operating 1,030 Burger King restaurants and 60 Popeyes restaurants.

Within weeks of starting, I helped guide the company through the COVID-19 crisis, the application for Federal PPP funds, and the decision to return the funds. Immediately cut legal expenditures and supported efforts to increase free cash flow to ensure the organization's survival during the pandemic.

Served as Corporate Secretary for numerous Special Board Meetings and two scheduled Quarterly Board Meetings. Organized the publication of the Notice of Annual Meeting of Stockholders and the Proxy Statement for the Annual Meeting of Stockholders and served as Corporate Secretary and Inspector of Elections for the Annual Meeting that took place on June 15, 2020.

Mercedes-Benz Research & Development North America, Inc. (a Daimler company), Ann Arbor, MI | FRA: DAI | 2018 to 2020

Vice President – Technical Compliance NAFTA. Brought into the larger Daimler organization to build and introduce a compliance management system for technical and regulatory issues focused on passenger cars and vans to all the relevant Daimler NAFTA entities. Invited to apply for the position by the Mercedes-Benz Research & Development North America CEO.

Staffed and hired a cross-functional team of lawyers, engineers, and managers to implement Daimler's state-of-the-art technical Compliance Management System (TCMS) across North America. Managed a team of 10 professionals in 5 locations, tCMS-NAFTA provided counsel and ensured compliance with all U.S. environmental, safety and certification-related laws and regulations while also providing support for new technology deployments to include autonomous vehicles/driving, electronic mobility, and connected vehicles (telematics).

Created in November of 2018, within the first 6 months of its formation and implementation, tCMS-NAFTA had already interfaced with the Department of Justice, the Environmental Protection Agency, the National Highway Traffic Safety Administration, and the California Air Resources Board. Additionally, I developed 16 hours of Continuous Legal Education (CLE) relating to vehicle emissions, attended by Daimler lawyers and engineers from the U.S. and Germany. Additional CLE for Daimler personnel focused on safety-related issues for passenger cars and vans in North America, held in October 2019.

Sandoz Inc. (a Novartis company), Princeton, NJ | NYSE: NVS | 2015 to 2017

Vice President & North American General Counsel. Returned to the U.S. as Sandoz North American legal lead and executive committee member after Reckitt Benckiser global General Counsel's personal recommendation to the Sandoz Global General Counsel.

Oversaw a 55-member corporate legal group with 25 attorneys and 30 compliance, intellectual property, or government affairs professionals and administrative staff. Reported to the President of a \$3 billion Sandoz business unit, with a dotted line reporting to the global GC of one of the world's leading generics and biosimilar pharmaceutical companies, with annual revenues of ~ \$10 billion and over 10,000 employees.

- **Corporate Governance & Board Advising:** Dealt directly with parent company CFO and other Novartis senior leadership. Advised Sandoz, Inc.'s board of directors, President, CFO, and other executives. Presented on legal issues at board meetings. Oversaw the preparation of periodic litigation reports and worked with external auditors to confirm the status of legal matters disclosed in company financials for review by Novartis and incorporated into public company financial statements.
- **Business Development & Licensing:** Worked with the BD&L team, holding approval for potential deals impacting the corporate risk model. Conducted line-by-line analysis of proposed M&A transactions and due diligence. Provided input into pricing models and other financial modeling. Oversaw IP due diligence for potential M&A and IP evaluation for product pipeline, including determinations of protectability. Negotiated partnerships with generic manufacturers and supply chain providers. Resolved customer disputes.
- **Government Affairs:** Led government affairs team in Washington, DC, partnering with trade and industry associations on issues and education for members of U.S. Congress (both Senate and House of Representatives) and state legislators, as well as FDA regulators and state agencies. Helped set agenda on IP protection of generic products, Hatch-Waxman rules, transparency in drug pricing, division of value chain with third-parties, and other pressing or emerging issues.
- **Compliance:** Following the Canadian audit, led an overhaul of Canadian marketing/sales practices and relationship building with doctors to bring national activities aligned with global best practices. Partnered with the regulatory group on recall, country of origin, labeling, and other regulatory compliance issues. Oversaw hotline, employee code of conduct, employee complaints, and other employment / HR-related matters.
- **Litigation Management:** Oversaw management and strategy for a caseload of 30 to 35 active general litigation matters, including resolution of multistate Attorney General matters with millions in fines at stake related to drug pricing for generics, as well as federal and state products liability actions (both private and class actions). Additional responsibility for ~ 20 to 25 IP litigation matters.

Reckitt Benckiser, multiple locations | LSE: RB | FTSE 100 | 2009 to 2015

Invited to apply for a divisional leadership role by vacating GC (a former colleague at P&G) after his elevation to global GC of the parent company. Reported to business unit CEO, with dotted line reporting to the global GC of the conglomerate with \$11 billion in annual revenue, ~ 35,000 employees, dozens of brands, and hundreds of products. North American and European legal leader committed to minimal use of outside counsel. Formulated an alternative legal fee model that was the basis for RB's recognition as the 2014 Most Innovative European In-house Legal Team by the Financial Times.

- **Vice President & General Counsel – North America & Europe, Reckitt Benckiser, Amsterdam, The Netherlands:** After massive tax-driven restructuring in 2011, moved from New Jersey to Amsterdam to take over an enlarged corporate legal group of 14 attorneys and six legal staff in eight countries—the Netherlands, U.S., France, UK, Germany, Italy, Poland, and Spain. Reorganized business unit with \$3.5 billion annual revenue, accounting for ~ 50% of worldwide revenue. Served as Corporate Secretary for a Dutch entity and regional Chief Compliance Officer. (2012 to 2015)

- Vice President & General Counsel – North America, Australia & New Zealand, Reckitt Benckiser, LLC, Parsippany, NJ: Took over leadership of a five-lawyer group with four legal staff, embedded in Reckitt Benckiser’s lead business division, with \$2.5 billion in annual revenue, accounting for ~ 35% of worldwide revenue. Joined the executive management team comprised of HR, regulatory, supply, sales, and finance group leaders. (2009 to 2011)

Aspen Dental Management, Inc., Syracuse, NY | 2008 to 2009  
Vice President & General Counsel

Hand Held Products, Inc., Skaneateles Falls, NY | 2003 to 2007

GE Information Technology Solutions, Newport, KY | NYSE: GE | 2000 to 2003

The Procter & Gamble Co., Cincinnati, OH | NYSE: PG | S&P 100 | 1998 to 2000

Hale & Dorr LLP (now WilmerHale), Boston, MA | 1995 to 1998

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Parallel Military Career, 1983 to 2014

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Colonel (Ret.), United States Marine Corps Reserve. More than 10 years of active duty and 20 years in the Marine Corps Reserve with service as both a helicopter pilot and a judge advocate. Veteran of Operation Desert Storm and Operation Desert Shield. Supported Operation Iraqi Freedom and am a Veteran of Operation Enduring Freedom. Deployments to Djibouti, the Persian Gulf, and the Western Pacific Ocean aboard the U.S.S. Okinawa.

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Education & Professional Leadership

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#### Education & Training

- Black Corporate Board Readiness Certificate, Santa Clara University, December 2024
- Generative AI for the Legal Profession Certificate, UC Berkeley Law Executive Education
- Le Moyne College, Syracuse, NY | MBA, 2008. Earned degree while working full-time
- Six Sigma Green Belt Certification, 2001
- Harvard Law School, Cambridge, MA | JD, 1996
- United States Marine Corps, Naval Aviator, 1989
- Colorado College, Colorado Springs, CO, | BA in Political Science, 1986

#### Board and Committee Memberships

- Foundation Board and Finance & Governance Committee, Chilton Hospital Foundation Board, Pompton Plains, NJ (2010 to 2012)

#### Publications

- Co-Author, “Considerations in Rebranding DEI,” 5 June 2024
- Co-Author, “Despite Attacks, DEI’s Foundation is Sound,” 11 October 2023
- Co-Author, “Litigation Investment: A New Approach to Law Firm Engagement,” ACC Docket, May 2012
- Co-Author, “The Perfect Legal Personality,” ACC Docket, July / August 2011