

Stephanie Bogan

General Counsel and Chief Compliance Officer, NFM, Inc.
Baltimore, Maryland Area



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Current • **General Counsel and Chief Compliance Officer at NFM, Inc.**

- Past** • Regulatory Compliance Associate at Capital One
• Regulatory Compliance Attorney at Lotstein Buckman

- Education** • Georgetown University Law Center
• University of Richmond School of Law
• American University

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Orange County, California Area

Stephanie Bogan, Executive Asst./Team Lead at Prudential
Greater New York City Area

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Stephanie Bogan's Summary

General counsel and member of executive leadership team, specializing in regulatory compliance, risk management, and legal matters relating to consumer finance and general corporate affairs.

Stephanie Bogan's Specialties:

Legal advisor to senior management, compliance with federal and state laws and regulations impacting a corporate organization that engages in mortgage lending, federal and state regulatory examinations and enforcement, consumer complaints and litigation, risk assessment, policies

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and procedures, implementation strategies for sustainable and successful growth, monitoring and reporting, training, and contract negotiation.

Stephanie Bogan's Experience

General Counsel and Chief Compliance Officer

NFM, Inc.

(Privately Held; 201-500 employees; Financial Services industry)

May 2006 — Present (4 years 4 months)

Manage legal and regulatory compliance affairs of a state-licensed mortgage lender and broker with a nationwide retail branch program. Plan and guide the corporation's legal and compliance activities in a wide variety of matters with particular emphasis on mortgage lending and brokering operations and human resources, commercial transactions, organizational matters, risk management and special projects. Conduct legal research and provides oral and written legal advice to senior management concerning the legal rights and obligations of the corporation. Draft and review legal documents and public disclosures. Develop, implement, monitor and report on internal compliance systems and processes designed to ensure compliance with applicable laws. Engage in civil and administrative litigation and alternative dispute resolution. Serve as liaison to federal and state regulators, outside counsel and attorneys at other financial institutions.

Regulatory Compliance Associate

Capital One

(Public Company; 10,001 or more employees; COF; Financial Services industry)

November 2004 — April 2006 (1 year 6 months)

Analyzed new, amended, or pending banking laws, regulations, regulatory guidance, or other policy developments to ensure compliance. Identified company-wide systems that will be affected and ensure these systems are updated in a timely manner to ensure compliance. Examined new or amended internal policies, standards, guidelines, and procedures to ensure regulatory compliance and that any associated risk is identified and managed appropriately. Identified projects that have compliance issues and ensure issues are managed appropriately. Ensured compliance risks are appropriately managed in projects throughout the company. Provided guidance and answers to complex

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regulatory compliance related questions. Presented high-level findings and memoranda to management.

Regulatory Compliance Attorney

Lotstein Buckman

(Privately Held; 11-50 employees; N/A; Law Practice industry)

September 2002 — October 2004 (2 years 2 months)

Provided a wide range of services to the mortgage banking industry and represents many of the leading mortgage originators and servicers in the United States. Advised clients on federal, state, and local regulatory compliance issues, licensing, and other regulatory approvals and exemptions, including, but not limited to, Real Estate Settlement Procedures Act (RESPA), Truth In Lending Act (TILA), Equal Credit Opportunity Act (ECOA), Privacy of Consumer Financial Information Act (The Privacy Act), Alternative Mortgage Transactions Parity Act (AMTPA), Depository Institutions Deregulation and Monetary Control Act (DIDMCA); Fair Credit Reporting Act (FCRA); Home Mortgage Disclosure Act (HMDA); and Homeowners Protection Act (HPA). Provided government relations services for clients in Washington, D.C. and state capitals, such as tracking of federal, state, and local predatory lending laws and other major developments. Participated in private regulatory working groups.

Stephanie Bogan's Education

Georgetown University Law Center

Tax Law Courses 2000 — 2002

University of Richmond School of Law

JD , 1996 — 1999

American University

International Law Courses In Europe 1997 — 1997

Hendrix College

BA , Politics , 1992 — 1996

Additional Information

Stephanie Bogan's Websites:

[My Company](#)

Stephanie Bogan's Interests:

Financial services industry, Mortgage banking law, Regulatory compliance, Corporate and professional development, Strategic planning, Professional networking, Theatre, Symphony, Opera, Gourmet cooking, International travel, Tennis

Stephanie Bogan's Groups:

Washington, DC Bar, New York State Bar, American Bar Association, American Bankers Association, Women in Housing & Finance, Capital One Financial Education Program, J.F.K. National Center of Performing Arts Volunteer, Washington National Opera Volunteer, D.C. Bar Pro Bono Advice Clinic, St. Peters, Oxford Junior Rowing Club



On Startups - The Community For Entrepreneurs



Mortgage Bankers Association (MBA)



Corporate Legal



Global Corporate Fraud and Compliance Professionals



Legal Blogging



Hendrix College Alumni Association



American Bankers Association (ABA)



University of Richmond School of Law



Women in Financial Markets



ComplianceEX



Financial Intelligence



Risk, Regulation & Reporting



International Law Discovery & Disclosure



Regulatory Compliance Association



National CEO Network



Professionals

Association of Residential Mortgage Compliance

Stephanie Bogan's Honors:

Capital One Professional Excellence Award, Moot Court Board Member at University of Richmond School of Law, Young Women's' Leadership Conference,

Stephanie Bogan's Contact Settings

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